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ABSTRACT

This faculty handbook, prepared for the 1974-75 session, is organized into four main sections: government of the university; policies and practices; student relations; and services and facilities. The information on government deals with administrative personnel, committees, and general organization. Policies and practices are outlined with regard to rights and responsibilities, academic definitions and designations, professional status, compensation, benefits, charitable giving, travel, credit union, and insurance. The section on student relations covers admission, student records, registration and program changes, grading, final examinations, counseling, degree requirements, and student and career employment. Library, computer, and other university services are described. Separate appendices are included on the faculty constitution and bylaws, conflict of interest, patent policy, and other regulations. (LBH)

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University of Southern California

Faculty Handbook 1974-75

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U.S. DEPARTMENT OF HEALTH,
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Foreword

This document represents present University of Southern California policies, practices, and services. As such it is the official guide to matters affecting the Faculty and Staff of the University and a step toward better communication within the University community.

Inescapably, a handbook that attempts to embrace the changing aspects of a major university campus will leave questions unanswered, answers outdated, and areas untreated. Constructive suggestions are invited. They may be addressed to the University Editor, Student Union 400.

John R. Hubbard
President

Preface

A word is in order about the procedure followed in revising the *Faculty Handbook*. The editor of the *Handbook*, appointed by the University Administration, is Clarence Anderson, University Editor. Working with him on this edition were three faculty members appointed by the Faculty Senate, Virginia Tufte (English), chairperson; Spencer Pollard (Economics), and Richard Davis (Gerontology). Under the Faculty Senate's Constitution, this group serves as a subcommittee of the Committee on Faculty Rights and Responsibilities. The Senate's Constitution also provides that proposed changes in the *Handbook* are subject to Senate consideration and recommendation.

Within the University Administration, responsibility for the *Handbook* rests with John E. Cantelon, Vice-President for Undergraduate Studies and Dean of the College of Letters, Arts, and Sciences.

All proposed changes in the Handbook were presented in writing to the editor or members of the *Handbook* committee. Such changes were then incorporated into a draft of the 1972-73 *Handbook* and copies were sent to appropriate committees of the Faculty Senate and other persons and groups for review and recommendation. Frances Feldman, President of the Faculty Senate, and Martin Levine, Chairperson of the President's Advisory Council, and University Vice-President Cantelon initiated many changes and reviewed all proposals. Copies of the various drafts were sent to Vice-Presidents Zohrab A. Kaprielian, Milton C. Kloetzel, James R. Appleton, and Carl M. Franklin, and their recommendations were incorporated. All recommendations of the Faculty Senate were incorporated.

In the final stages, Vice-President Cantelon chaired a series of meetings to clarify policy and to negotiate on the language of sections where agreement had not been reached. This review group included the Vice-Presidents named above, the president of the Faculty Senate, the chairperson of the President's Advisory Council, members of the *Handbook* Committee, and the University Editor. Questions not resolved by this group were referred to President John R. Hubbard, who authorized the final draft.

Much of the language of the *Handbook* comes from the Bylaws of the University, as amended through June 6, 1973; from the Constitution and Bylaws of the Faculty Senate; and from the Bylaws of the President's Advisory Council. The complete Constitution and Bylaws of the Faculty Senate are in Appendix 1A. The complete Bylaws of the University are available in the Business Office, and the Bylaws of the President's Advisory Council, at the Council's office in Town and Gown.

Acknowledgments

Many persons and many offices have offered suggestions and corrections through phone calls, memorandums, and personal visits. The faculty committee, members of the administration, and many other University personnel have given a good deal of time in an effort to ensure accuracy, but the constant changes taking place in a vigorous university mean that no document of this kind succeeds in being completely up-to-date. A supplement to the present edition is already under consideration.

Corrections and suggestions for the next edition are expected and invited. Two tear-out forms have been provided at the back of the *Handbook* for this purpose.

The editor appreciates the goodwill and cooperation of everyone who has contributed.

Clarence Anderson
University Editor

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Section 1.0
Government of the University

1.1 Organization and Function, Board of Trustees

a. Description

The University, as a private corporation, is governed by a 36-member Board of Trustees. The Board is a self-perpetuating body, electing one-third of its members each year for three-year terms.

b. Membership

The regular term of office of a Trustee shall be for three years and until the election of a successor. Except for those Trustees in office as of July 1, 1965, no Trustee shall remain in office except as a Life Trustee after having attained 75 years of age.

Upon serving a minimum of nine years, a member of the Board may be appointed a **Life Trustee.** Although not a member of the Board or of the corporation, the Life Trustee may attend meetings of the Board and participate in discussions but without vote.

Three members shall be **Alumni Trustees**, elected from among members of the governing body of the General Alumni Association, a section of the Alumni Department, Division of University Affairs. Their terms shall be so arranged that one term expires each year.

c. Officers of the Board

The Board shall elect a Chairperson and one or more Vice-Chairpersons.

d. Quorum

Fifteen members of the Board of Trustees shall constitute a quorum for the transaction of any business at any meeting of the Board.

e. Vacancies

Any vacancy resulting from an uncompleted term shall be filled by the Board. If there are less than a quorum, a majority of the remaining Trustees may act. Such appointments are only for the unexpired portion of the term.

f. Meetings

The **annual meeting** of the Board shall be held each year on the first Wednesday of June. **Regular meetings** shall be held on the first Wednesday of February, April, October, and December. If thus scheduled on a legal holiday, the regular meeting shall be held on the next day that is not a holiday.

The Vice-Presidents of the University shall attend meetings of the Board of Trustees unless otherwise directed by the Chairperson of the Board or the President of the University.

Unless otherwise directed by the Chairperson of the Board, by the Board, or by the Executive Committee, all meetings shall be held on the University campus.

g. Committees of the Board

Discrete areas of concern and responsibility are assigned to nine standing committees of the Board. Special committees are established as need and feasibility indicate. (See Item 1.3)

1.2 Officers of the Corporation

At each annual meeting, the Board of Trustees shall elect the following officers of the corporation:

Chairperson of the Board
One or more Vice-Chairpersons of the Board
President of the University
Vice-President, Academic Administration and Research
Academic Vice-President
Vice-President, Undergraduate Studies
Vice-President, Health Affairs
Vice-President, Student Affairs
Vice-President, Legal Affairs
Vice-President, University Affairs
Vice-President, Business Affairs
Secretary of the University
Treasurer of the University

The Board may elect a Chancellor of the University and such assistant or other officers as the Board may find necessary or appropriate. All officers shall serve at the pleasure of the Board. Except for those of the President and the Secretary of the University, any two or more offices may be held by the same person. Responsibilities and functions of the Officers of the Corporation are described below.

Chairperson of the Board. The Chairperson shall preside at all meetings of the Board of Trustees and of its Executive Committee, with the usual powers of a presiding officer.

Vice-Chairperson of the Board. If the Chairperson is absent, a Vice-Chairperson designated by the Chairperson shall perform the duties of the chair. If the Chairperson has not designated a Vice-Chairperson and if more than one Vice-Chairperson is present, a majority of the Trustees attending a meeting of the Board of Trustees, or a majority of committee members attending a meeting of the Executive Committee, shall designate which of such Vice-Chairpersons shall preside.

President of the University. The President shall be elected by the Board of Trustees and shall be the chief executive officer in charge of all operations of the corporation. Although responsible for carrying out policies established by the Board, the President may delegate functions. All officers of the University except the Chairperson and Vice-Chairperson(s) of the Board shall be subject to the direction of the President.

Selection of Academic Staff – The President shall appoint the dean or director of each college or school of the University, together with such division or department chairpersons, or other division administrators or assistants throughout the University as may be necessary or appropriate to carry out the work of the University. The President shall determine the term of office and the duties of each such member of the academic staff.

Academic Program – The President shall have full power of appointment, direction, and supervision of the faculties and the libraries, and the organization thereof. The President shall be an *ex officio* member of the faculty of each college or school, as well as the library staff, and may act as the presiding officer of each faculty and the library staff and of the University faculty. The President shall have the right to cast the deciding vote in any such group in case of a tie. The President may appoint such committees of any faculty as are deemed wise and proper and shall be a member *ex officio* of all such committees.

Fiscal Program – The President, with the advice and assistance of other University officers, shall prepare an annual operating budget for the University. The budget shall be considered by the Finance and Budget Committee before presentation to the Board.

Enforcement of Rules – The President shall be responsible for the enforcement of all rules and regulations of the University.

Absence or Incapacity of President – If the President is absent or incapacitated, the duties of office shall be performed by the Vice-President designated by the President, or, in the absence of such designation, by one or more of the Vice-Presidents designated by the Board.

The President's Executive Staff includes the Executive Secretary of the Board of Trustees; University Librarian; University Chaplain; Special Assistant, Governmental Relations; Special Assistant, Community Relations; Director, Intercollegiate Athletics; Director, Equal Opportunity and Affirmative Action; and Director of Personnel.

Vice-President, Academic Administration and Research. The Vice-President, Academic Administration and Research, is the senior academic officer of the University, responsible for academic planning, research, budgetary matters, and administration. The responsibilities of this officer include the following:

Functions for the President in the President's absence.
Is responsible for administration of academic policy.
Is responsible for administration of research policy.
Is responsible for overall administration of financial and business policy.
Reviews with the President the functions and operations of deans and directors.
Coordinates with the President the functions and operations of other Vice-Presidents.

The Vice-President, Academic Administration and Research, directs the activities of the directors of the Solid State Sciences Center; the Marine Science Center; the Sea Grant Program; the Hancock Foundation; the Institutional Studies Office; the Contracts and Grants Department; University Information Processing; the Gerontology Center; the Learning Systems Center; the Office of Academic Relations; the Social Science Research Institute; and Vivaria. This officer directs activities of the deans of the Annenberg School of Communications and the College of Continuing Education.

Academic Vice-President. The Academic Vice-President directs the activities of deans of the Schools of Architecture and Fine Arts; Business Administration; Education; Engineering; Law; Library Science; Performing Arts; Social Work; Public Administration; The Graduate School; Institute of Safety and Systems Management; and the director, Galleries. The Academic Vice-President is secretary of the Academic Affairs Committee of the Board of Trustees.

Vice-President, Undergraduate Studies. The Vice-President, Undergraduate Studies, directs activities of the College of Letters, Arts, and Sciences; supervises the activities of the divisional deans of Humanities, Social Sciences and Communications, and Natural Sciences and Mathematics; the director, Center for Urban Affairs; and the University Editor.

Vice-President, Health Affairs. The Vice-President, Health Affairs, directs activities of the Health Sciences, including Medicine, Dentistry, and Pharmacy, and also relates to elements of Social Work, Biomedical Engineering, Communicative Disorders, Occupational Therapy, and Physical Therapy, as well as other health-related activities.

Vice-President, Student Affairs. The Vice-President, Student Affairs, administers the Division of Student Affairs, consisting of the offices of Admissions, Financial Aid, and Registration; health and counseling services; El Centro Chicano; and a number of student support services and campus life programs, including Residence Hall room assignment and programming. The Vice-President, Student Affairs, is secretary of the Student Affairs Committee of the Board of Trustees.

Vice-President, Legal Affairs. The Vice-President, Legal Affairs, is the legal officer of the University. The Vice-President, Legal Affairs, transmits all special legal problems to University general counsel, provides legal opinions as requested, and maintains a file of all legal documents pertaining to the University.

Vice-President, University Affairs. The Vice-President, University Affairs, administers the Division of University Affairs, consisting of the Development Department, the University Relations Department, and the Alumni Department. The Vice-President, University Affairs, is secretary of the University Development and Alumni Affairs Committees of the Board of Trustees.

Vice-President, Business Affairs. The Vice-President, Business Affairs, continually studies and supervises the business activities of the University, including Architectural Services, Bookstores, Central Receiving, Commons, Facilities Planning and Space Utilization, Graphic Services, Insurance and Risk Management, Mailing Services, Plant Services, Property Management, Residence Halls Management, Food Services, Campus Security and Parking Operations, and University Events Ticket Sales. This officer is secretary of the Campus Planning Committee of the Board of Trustees.

Secretary of the University. The Secretary of the University keeps full records of the proceedings of the Board of Trustees, keeps the seal of the corporation, and, when so instructed, affixes the same to documents as required, and sends out all proper notices. The Secretary of the University is secretary of all committees other than those for which a University Vice-President is secretary.

The Secretary is supported by such assistants as required, including the **Executive Secretary to the Board of Trustees.** As appointed by the Board of Trustees, the Executive Secretary to the Board of Trustees serves as liaison between the Board and the Administrative Officers of the University to ensure that resolutions and policies adopted by the Board are communicated to appropriate persons; prepares agenda and other materials for Board meetings in accordance with instructions from the Board and the officers of the University; and performs such other duties as the Board may prescribe. The Executive Secretary also serves as Assistant Secretary of the University.

Treasurer of the University. The Treasurer of the University has custody of all securities and other valuable documents but may place the same in a custodian account under such arrangements as may be approved by the Board, the Executive Committee, or the Finance and Budget Committee. With the approval of the Finance and Budget Committee, the Treasurer invests, reinvests, or sells assets of the University. If required by the Board, the Treasurer gives a bond for the faithful performance of duties. The Treasurer reports annually to the Board regarding the financial affairs of the University.

Chancellor of the University. The Board may elect a Chancellor with such duties and compensation as the Board may determine.

University Librarian. The University Librarian reports directly to the President in exercise of his/her duties. The Librarian administers the University library system, including all of its related branches, but not the libraries of the School of Law, the School of Medicine, and the Hancock Foundation. He/she provides for collections, services, and cooperative arrangements with other institutions appropriate to the academic and cultural responsibilities of the University.

1.3 Committees of the Board of Trustees

Nine standing committees of the Board of Trustees are appointed by the Chairperson of the Board, subject to approval of the Board. The Chairperson and the President of the University, if the latter is a trustee, are *ex officio* members of each standing and special committee except the Executive Committee, of which both are regular members. The Chairperson also may appoint special committees, also subject to Board approval. Size, duties, and authority of such special committees are prescribed by the Board. Makeup and function of the nine standing committees are described below.

Executive Committee. The committee comprises 11 members of the Board, including the Chairperson and all Vice-Chairpersons, as well as the President, if the President is a trustee. When the Board is not in session, the Executive Committee has all of the power and authority of the Board, except the power to adopt, amend, or repeal bylaws. The Executive Committee meets regularly on the first Wednesday of January, March, May, September, and November. If thus scheduled on a legal holiday, the meeting is held on the next day that is not a holiday.

Academic Affairs Committee. The committee comprises not less than five members of the Board in addition to *ex officio* members. The committee consults with the President on academic policies and recommends to the Board such changes as seem advisable. The committee includes two faculty members and two students as voting members of the Academic Affairs Committee.

Finance and Budget Committee. The committee comprises not less than five members of the Board, including the Treasurer of the University, if he is a trustee, in addition to the other *ex officio* members. Its powers and duties are as follows:

To exercise general supervision of the financial books and records of the University.

To accept gifts to the University (acceptance may be withheld pending acceptance by the Board).

To instruct the Treasurer of the University in the investment of endowment and other funds of the University.

To instruct the Treasurer to sell assets of the University.

To employ or discharge any firm of certified public accountants to audit the financial books and records of the University.

To fix all terms and conditions of any sale or lease of University real property.

To consider proposals of the President concerning the annual operating budget and to make recommendations concerning the budget to the Board.

To establish procedures for the presentation of the budget and for operation under the budget as approved.
To review periodically the financial position of the University.
To perform such other and further acts as may be authorized by the Bylaws of by resolution of the Board or of the Executive Committee.
To review and advise the Board concerning tuition rates and all compulsory fees.

University Development Committee. The committee comprises not less than five members of the Board in addition to the *ex officio* members. It considers and recommends development and public relations programs and purposes to the Board.

Alumni Affairs Committee. The committee comprises all members of the Board of Trustees who are alumni of the University. It considers and recommends to the Board programs and policies for the Alumni Department, Division of University Affairs, and considers and recommends to the Board programs and policies to strengthen relations among the trustees, the University, and its alumni.

Campus Planning Committee. The committee comprises not less than five members of the Board of Trustees in addition to the *ex officio* members. Its powers and duties are as follows:

To exercise general supervision of construction of all buildings of the University.
To recommend to the Board proposals concerning buildings and grounds, plans and specifications for such proposals, selection of architects and contractors, and expenditures designed to provide adequate buildings and grounds.
To make long-range plans and present recommendations to the Board for proper use of land in conjunction with the academic program of the University; for improvements other than buildings including roadways, walks, lighting, utility distribution, protection and security, and the like; and for procedures and expenditures to provide adequate maintenance.

All recommendations for expenditures by the Campus Planning Committee also are communicated to the Finance and Budget Committee.

Board Personnel Committee. The committee comprises not less than five members of the Board in addition to *ex officio* members. It makes nominations for Trustees and officers of the Board and submits all such nominations to the Executive Committee at its regular May meeting for the approval of the Executive Committee. All nominations approved by the Executive Committee are then submitted to the Board at the annual meeting of the Board or at the next regular meeting of the Board if the nomination is to fill a vacancy resulting from an uncompleted term. If the latter, the Board

Personnel Committee makes and submits its nomination to the Executive Committee at the earliest regular meeting of the Executive Committee.

Honorary Degrees Committee. The committee comprises not less than five members of the Board of Trustees in addition to the *ex officio* members. It considers proposals of the President and of individual Trustees concerning persons of outstanding distinction and accomplishment whom the University might honor with an honorary degree and presents its recommendations to the Board. If an honorary degree is to be presented to a Commencement speaker, however, the Committee, with concurrence of the President, may declare such person a candidate for an appropriate honorary degree and may authorize the President to confer such degree at the Commencement exercises.

Student Affairs Committee. The committee comprises not less than five members of the Board in addition to *ex officio* members. By action of the Board of Trustees, the committee also includes two student members. It considers and recommends to the Board programs and policies relating to student affairs.

1.4 Consultative Bodies

Provision is made for a variety of advisory bodies for consultation as the Board of Trustees and University officers deem necessary and appropriate. The consultative relationships are described below. The first two groups are composed of University administrators; the second pair provide elected representation from all segments within the University; and the third pair provide the benefit of counsel by alumni and friends of the University from the general community.

Academic Council. The President's Academic Council meets with the President to consider exclusively educational matters. In addition to the President, its members are the Academic Vice-President; the Vice-President for Academic Administration and Research; the Vice-President, Undergraduate Studies; the Vice-President, Student Affairs; the University Librarian; the Dean of the Graduate School; and the Dean of the College of Continuing Education. When matters relating to other schools of the University are to be considered, the appropriate deans, directors, or faculty are included.

Council of Deans. The Council of Deans comprises deans of the University's schools and colleges. The Council concerns itself with a wide spectrum of topics, including University governance; curriculum; new departments of the University; faculty titles, benefits, salaries, and tenure; interschool programs; University research policies; budget matters; and the allocation of University space. The Council meets twice monthly.

President's Advisory Council. The President's Advisory Council (PAC) is an all-University body of elected faculty, staff, and students, as well as all

University Vice-Presidents and Deans. The PAC represents the entire University community. It advises the President on policies and topics of University-wide significance. As a deliberative and consultative body, it has power to make studies, reports, and recommendations to the President in any and all matters pertinent to the well-being of the University.

The PAC grew out of several prior entities and concepts emerging from extensive efforts over several years involving various alternate plans for a campus-wide representative body. Among prior entities serving the broad objectives of the PAC were the University Senate and the University Council. The latter emerged as the PAC with a change of name.

The Council concept was first promulgated in the President's memorandum of January 3, 1973, setting forth plans for a University Council. The first meeting of the Council was held in September 1973. On January 21, 1974, the Council proposed to the President a statement on structure and function, on the basis of which the President may promulgate bylaws and/or other governing documents. (Item 1.6 elaborates further upon PAC rationale and structure.)

Faculty Senate. The Faculty Senate comprises full-time faculty elected by the full-time faculty within their respective academic units, according to a representational formula. The Senate is organized specifically to determine positions on issues directly related to faculty status, responsibilities, and welfare within the University. It is the first place where such issues will be investigated and solutions or policies proposed to other decision-making agencies of the University. It is therefore the forum for faculty decision-making and the voice of the collective faculty. The Senate meets monthly as a body. The Senate Executive Board meets at least twice monthly and confers at least monthly with the President about matters of interest and concern to the faculty. (Item 1.5 deals in greater detail with the structure and function of the Faculty Senate; Appendix 1A contains the Faculty Senate Constitution and Bylaws *in toto.*)

University Associates. The Board of Trustees may appoint University Associates from among the alumni and friends of the University. The term of office of a University Associate is at the pleasure of the Board. At the request of the President, University Associates are available for consultation regarding University affairs. The chairperson of the Board of Trustees is chairperson of the University Associates.

Boards of Councilors. When deemed advisable, the Board of Trustees may create a Board of Councilors as an advisory and consulting body in matters affecting development of a particular school or college of the University. Such a body would concern itself with the impact of the school or college on the University and general community and would periodically appraise this impact in collaboration with the dean and his faculty. Such boards presently function in the Andrus Gerontology Center; the Center for Urban Affairs; the College of Letters, Arts, and Sciences; the Graduate School of Business Administration; the Institute of Safety and Systems Management;

the Library; the Marine Science Center; and the Schools of Architecture and Fine Arts; Business; Dentistry; Engineering; International Relations; Law; Library Science; Medicine; Performing Arts; and Pharmacy.

1.5 Academic Organization

a. Officers of the Faculty

The President of the University shall appoint the following academic officers, who are not corporate officers:

Academic deans and directors
Division and department chairpersons
Such other academic officers as may be designated by the Board

All academic officers are subject to the immediate direction of the Academic Vice-President; the Vice-President, Academic Administration and Research; the Vice-President, Undergraduate Studies; and the Vice-President, Health Affairs, as provided in descriptions of their responsibilities elsewhere in this handbook. (See Item 1.2, Officers of the Corporation.)

Academic Deans and Directors. Under the direction indicated above, the academic dean or director of each college, school, or other administrative unit of the University is responsible for the proper preparation and conduct of its program.

The academic dean or director continually studies the academic program and needs of his/her unit and makes an annual report to the President through his/her immediate superior. The academic dean or director supervises the progress and looks after the academic welfare of the students in his/her unit and furnishes such information concerning his/her school as may be requested by the President.

Division and Department Chairpersons. Each academic division or department of each college, school, or other administrative unit is headed by a chairperson. As its chief administrative officer, he/she is subject to the provisions described in Item 1.2. The administrative officer is responsible for the organization and maintenance of the work in the department and makes periodic reports to the dean or director as deemed necessary or as requested.

The Council of Deans and the University Senate (during its tenure) issued this joint statement on selection of department chairpersons that continues applicable: The chairperson of a department is recommended by the dean following selection either by departmental election or consultation with members of the department and of related departments; appointments would normally be in conformity with department members' judgment. The chairperson does not have tenure in office; tenure as a faculty member is a matter of separate right. The department chairperson should serve for a stated term but without prejudice to reelection or to reappointment by procedures which involve appropriate faculty consultation.

b. Schools and Colleges

Schools and Colleges of the University are:

- The College of Letters, Arts, and Sciences
    - School of International Relations
    - School of Journalism
    - School of Philosophy
    - School of Religion
- The Graduate School
- The School of Architecture and Fine Arts
- The School of Business
- The Graduate School of Business Administration
- The School of Dentistry
- The School of Education
- The School of Engineering
- The Annenberg School of Communications
- The School of Law
- The School of Library Science
- The School of Medicine
- The School of Performing Arts
    - School of Music
- The School of Pharmacy
- The School of Public Administration
- The School of Social Work
- The College of Continuing Education

and such other schools and colleges as the Board of Trustees may establish. In addition, there are interdisciplinary units, such as the Andrus Gerontology Center, the Institute of Safety and Systems Management, the Hancock Foundation, the Marine Science Center, the Center for Urban Affairs, the Solid-State Sciences Center, and the Social Science Research Institute.

The Annenberg School of Communications is jointly operated by the Annenberg School of Communications, Inc., a non-profit educational corporation, and the University of Southern California. The school is supervised by a joint committee of ten trustees, five from the Annenberg School of Communications, Inc., and five from the University of Southern California Board of Trustees.

c. Faculty

The University Faculty consists of the President of the University; the Vice-President, Academic Administration and Research; the Academic Vice-President; the Vice-President, Undergraduate Studies; the Vice-President, Health Sciences; the Vice-President, Student Affairs; the Academic Deans and Directors; and members of the teaching and research staffs holding titles of Professor, Associate Professor, Assistant Professor, Instructor, and Librarian.

University Committees appointed by the President of the University meet at regular intervals during the academic year. Each appoints a secretary to keep a record of its proceedings. Each makes such rules of procedure and appoints such subcommittees as proper and necessary. The President may appoint to any such committee one or more persons not members of the faculty. (See Item 1.6.)

Each committee shall perform such duties as may be fixed by, and shall have such powers and exercise such authority as shall be delegated to it by, the President of the University. Powers and functions of the various committees are indicated by their titles; they are subject to the approval of, and a power of review in, the President of the University, and subject always to the policies and directives of the Board of Trustees in effect from time to time.

d. Courses of Instruction

Courses of instruction in the several schools and colleges shall be prescribed by their several faculties, on recommendation of the appropriate committees and subject to the approval of the President of the University.

e. Faculty Senate

The Faculty Senate, as from time to time elected or designated by the faculty, shall be a deliberative and consultative body, with power to make studies, reports, and recommendations to the President of the University in any and all matters pertaining to the well-being of the University.

An abbreviated description of the Faculty Senate and its participation in the affairs of the University is given below. The complete text of the Faculty Senate Constitution and Bylaws is contained in Appendix 1A of this handbook.

Authority. The preamble of the Faculty Senate Constitution as ratified in October 1973 outlines the broad functions and concerns of the Faculty Senate as a body existing "to contribute to the intellectual vitality of the University of Southern California" and organized specifically "to determine positions on issues directly related to faculty status, responsibilities, and welfare within the University."

As the forum for faculty decision making and the voice of the collective faculty, "it is the first place where such issues will be investigated and solutions or policies will be proposed to other decision-making agencies of the University."

The Senate especially concerns itself with the processes by which major University decisions about personnel and academic policy are made, with a view to obtaining and disseminating information about such decision-making. Faculty members who accept their election to the Senate thus declare their individual commitment to work through it for the realization of these goals. The preamble concludes:

The Faculty Senate is, therefore, a fact-finding, deliberative, and consultative body, with authority to make studies, reports, and recommendations on all matters which have a significant bearing upon the work of the faculty. The Senate, through its Executive Committee, may present any of its findings or recommendations to the students and faculty at large, to the President's Advisory Council, to appropriate administrative officers of the University, to the Board of Trustees, or to the general public.

Membership. The Faculty Senate consists of elected and non-elected members, all with vote. *Elected members* are regular full-time members of the University faculty of the rank of Instructor or higher, apportioned among the schools and the College of Letters, Arts, and Sciences on a basic ratio of one senator for every eight regular faculty members, or major fraction thereof, of each school and of the College.

Non-elected members are faculty members on the President's Advisory Council, the Registrar, the Dean for Student Life, the University Librarian, the University Chaplain, the president of the Faculty Center Association, the editor of the *Faculty Newsletter*, the immediate past president of the Senate, the chairman of each standing University Committee, and the president of the local chapter of AAUP or of other state or national faculty organizations with a similarly broad base in the teaching profession.

Elected members serve for terms of two years and may stand for reelection for a second term but shall not remain in the Senate for continuous periods exceeding four years. Senators are responsible for keeping informed on current issues and documents and for maintaining active communication with their constituencies. The Senate Executive Committee may ask members to poll their constituencies from time to time on their views on current issues and affairs.

Election of Members. Each regular full-time faculty member of the rank of Instructor or higher may vote in the elections to the Senate, conducted at such intervals and under such conditions as prescribed by the Senate. Nominations of candidates are made by each department within a school or the College in the ratio of one candidate for each four regular full-time faculty, or major fraction thereof. If a school is not departmentalized, nominations are made as the school may choose. Senators take office during the month of September.

Officers of the Senate. Each spring, the Senate elects a president, a vice-president, and a secretary. These officers are installed at the September meeting following. Any vacancies in these offices during the year are filled by Executive Committee election.

Executive Committee. The Executive Committee consists of the three officers, four additional elected members, the immediate past president, and the chairperson of the *Faculty Newsletter* editorial board. The Executive Committee appoints standing committees at the end of September. Although not restricted to the Senate, these committees are composed at least 60 percent of elected senators. Standing committees submit semiannual reports to the Senate as well as special reports as requested by the Executive Committee.

Meetings. The Senate meets nine times during the academic year, September through May, on a fixed monthly schedule. Special meetings may be called by the Executive Committee or by petition of one-third of the members of the Senate.

Faculty Senate Publications. The *Faculty Newsletter,* published monthly during the academic year, is the chief communications medium of the Faculty Senate in informing the faculty of Senate activities and matters. It also provides a forum for individual faculty viewpoints, a means for polling faculty opinion, and a chronicle of University events of special interest.

The *Faculty Handbook* is prepared under the editorship of a person appointed by the Administration who collaborates with the Faculty Senate handbook committee, a subcommittee of the Faculty Senate committee on faculty rights and responsibilities. Faculty suggestions for revision and updating are directed to the latter committee. Suggested revisions, whether from the FRR committee or the Administration, are subject to Senate discussion and recommendation. Copies of the handbook are available to the entire faculty and are distributed through departments as soon as the new edition is printed.

Amendments and Bylaws. Proposed amendments to the Faculty Senate Constitution may be acted upon after at least 30 days' mailed notice to the faculty. Two-thirds vote of the members submitting ballots in a mail referendum is required to approve a constitutional amendment. If the total vote on the proposal is less than one-third of the eligible voters, the proposal must be reapproved by two-thirds of the members present at the next regular meeting of the Senate held more than 60 days after the original submission. Bylaws may be adopted or amended by majority vote of the Senate at any regular meeting, provided that the proposed measure has been submitted in writing to the Senate at a prior meeting.

Faculty Senate Bylaws. Bylaws approved in the October 1973 referendum include those dealing with parliamentary procedure; quorum; motions from the floor; visitors; University Library; the authority and action of the Senate Executive Committee; Faculty Senate representatives to the University Council; nominating committee for Executive Committee and Council representatives; standing and special committees; elections; elections from the College; School of Medicine representation; alternates; and reports to the faculty. Standing committees include those on academic policy and procedure; University administration; faculty employment and remuneration; faculty rights and responsibilities; faculty environment; and rules, membership, and elections.

1.6 President's Advisory Council (PAC)

The President's Advisory Council, established in 1973, includes representatives from administration, faculty, student body, and non-academic staff. As its name indicates, its basic function is to advise the President of the University, and its powers and duties are delegated by the President. The Council undertakes (a) to foster shared goals and ideals; (b) to promote improved processes; (c) to provide a campus forum enabling increased cooperation and communication among faculty, staff, and students; and (d) to ascertain consensus on questions of University-wide concern raised by the President or any of the various constituencies.

One of the Council's responsibilities is to coordinate the University's system of standing committees. Under the University Bylaws, the President of the University appoints such committees. The Council advises on committee organization and recommends to the President panels of nominees for chairpersons and members of the committees. These University-wide committees do not replace internal committees of individual schools or administrative divisions, or of the Faculty Senate, Council of Deans, and student organizations. Recommendations of internal committees having University-wide significance may be considered by the appropriate University committee, by the Council, or by both.

A brief description of the Council's organization and procedures is given below. Copies of the Council's Bylaws are available at the Council office in Town and Gown.

Authority. Powers and duties of the President's Advisory Council are delegated by the President of the University and are subject to the University's Articles of Incorporation and Bylaws, and to the powers of the Board of Trustees. The President's Advisory Council does not replace other entities of the University such as the Faculty Senate, Council of Deans, and student organizations, with their distinctive constituencies, unique interests, and defined roles.

Membership. Under the allocations provided in the Bylaws in 1973, the Council has approximately 120 members. One-half of the seats are held by faculty, elected from the academic units. The number of faculty Councilors elected by each academic unit ranges from one to four, depending on the number of full-time regular faculty in the unit. The dean or academic director of each academic unit also holds a seat in the Council. Members of the non-academic staff elect six Councilors. Students elect 33 Councilors, including one representative from each school and 12 undergraduates from the College of Letters, Arts, and Sciences. University Vice-Presidents are *ex officio* members of the Council, non-voting.

Overlapping Membership. Faculty members elected to the President's Advisory Council automatically become members of the Faculty Senate as well; they serve in the Senate along with faculty members elected to that body. Six of the seats in the President's Advisory Council are reserved for representatives of the Faculty Senate; these include the President of the Faculty Senate and five other elected Senators designated by the Senate to serve as Councilors.

Term of Office. Student members and Faculty Senate representatives of the Council are elected each year. Faculty from schools and staff representatives are elected every other year for two-year terms, in such a manner as to provide staggered terms where feasible. Deans serve as long as they hold their offices.

Election of Councilors. For details on the procedures for electing Councilors, see the Council's Bylaws. Nomination and election of councilors takes place in April. Newly elected councilors take office in May.

Officers of the Council. The Council has an Executive Committee composed of six faculty members, two deans, three students, and one staff representative; the presiding officer is a faculty member; the President of the University and two Vice-Presidents participate *ex officio* without vote. The Executive Committee includes the President of the Faculty Senate, the Chairperson of the Council of Deans, and the Chairperson of the Student Caucus. Remaining members of the Executive Committee are chosen by their respective caucuses of the Council. The Council, after nominations by the Executive Committee and from the floor, elects one of the faculty members of the Executive Committee as Chairperson of the Council and of the Executive Committee. A schedule of Executive Committee meetings for the program year is posted at the beginning of the program year.

Meetings of the Council. The schedule of Council meetings is established and posted at the beginning of each academic year. One-third of the membership constitutes a quorum.

1.7 University Committees

University-Wide Committees. The President of the University is empowered under the University Bylaws to appoint committees of faculty and others. The President has requested the President's Advisory Council to coordinate the system of University Committees.

Internal Committees and Advisory Groups. Advisory groups may be appointed by administrative officers, and internal committees may be appointed by a dean or faculty to serve within a school or division. The Faculty Senate, Council of Deans, Student Caucus, and other groups also have internal committees. On topics of University-wide significance, advisory groups and internal committees make available their findings for consideration by the appropriate University committee

Functioning of Committees. University Committees assist the President in the formulation of policy. In some cases, due process hearing, personnel search, or other special functions have been delegated to committees.

As provided in the University Bylaws, each committee performs such duties as may be fixed by the President and shall have such powers and authority as are delegated to it by the President. Committees also undertake activities requested by a Vice-President or other appropriate administrator. Reports and recommendations of University Committees are transmitted to the President. Where operational functions have been delegated to a University committee, its actions take effect as such, subject to review by the President and appropriate groups. Copies of committee reports go to the President; the appropriate Vice-President or other administrative officer; the Executive Committee of the PAC; the chairpersons of the appropriate planning board; the Faculty Senate; the Council of Deans; and the Student Caucus. These groups may comment, if they wish, to the President and the Executive Committee of the PAC. Committee reports are subject to discussion by the PAC on request of the President of the University, on recommendation of the PAC Executive Committee, or by motion and vote of the Councilors.

Appointment of Committees. Names of potential members of each University Committee are solicited each year from the Faculty Senate, Council of Deans, the Student Caucus, and staff Delegate Conferences. Vice-Presidents, faculty members, staff members, and students may make nominations. The Executive Committee of the PAC recommends a panel of nominees to the President, who holds responsibility for appointing chairpersons and committee members.

Period of Service. Chairpersons and members of University Committees remain in office until their committees are discharged or new members appointed. In general, new committees begin work each year in September.

Special Groups. Besides the standing committees, the University Committee system includes a number of other groups. The term "board" is used for broad, long-range planning bodies. The term "commission" is used for specialized bodies and also for temporary bodies. The term "panel" is also used for groups with certain relationships to the President.

Planning Boards. Two planning boards have been established, one on academic planning and one on human resources and environment. Each board is responsible for foreseeing long-range planning issues and major policy questions; it may suggest such studies to the appropriate groups.

Personnel Searches, Honorary Degrees, and Special Studies. When appropriate, the President of the University appoints specialized or temporary task-oriented panels such as search panels, special study panels, and panels to recommend honorary degrees and awards.

Student Behavior Appeals. Specific appeals on student discipline are heard by the University Student Behavior Appeals Panel, which affords a due process hearing as set forth in the procedures it adopts. Appeal from the determination of such panel lies direct to the President of the University.

Faculty Tenure and Privileges Appeals. Grievances of faculty, including those concerned with promotion and tenure, are considered by designated committees under procedures described in Item 2.4 of this handbook.

Table of Committees. The Table of University Committees is listed below. Where topics are listed in brackets under a committee name, that committee, or other appropriate committees, may from time to time decide whether to deal directly with the topics, or establish commissions.

EXECUTIVE COMMITTEE of the President's Advisory Council

(Examples of areas of concern are committee personnel, credentials and elections, Bylaws revision, committee structure and evaluation, and other topics as requested by the President.)

ACADEMIC PLANNING BOARD

EDUCATIONAL POLICIES COMMITTEE

(Examples of areas of concern are priorities, multidisciplinary activities, continuing education, urban programs, teacher education, criminal justice, and other academic affairs topics as needed.)

CURRICULUM COORDINATION COMMITTEE

GRADUATE AND PROFESSIONAL SCHOOLS COMMITTEE

ACADEMIC SUPPORT SERVICES COMMITTEE

(Examples of areas of concern are libraries, research, computers, safety, vivaria, and galleries.)

COMMITTEE ON UNIVERSITY AND COMMUNITY LIFE

(Examples of areas of concern are student publications and media, counseling and health services, international students, student residence halls, career planning and placement; also, speaker programs, ethical and religious interests, theater, fine arts, and cultural and intellectual environment; also, Centennial plan, athletics, alumni affairs, neighborhood relations, and governmental support for private education.)

HUMAN RESOURCES AND ENVIRONMENT PLANNING BOARD

RESOURCE MANAGEMENT AND PLANNING COMMITTEE

(Examples of areas of concern are tuition and fees, fiscal planning and forecasting, campus physical planning and development, physical plant operations and maintenance, business services, and energy conservation.)

STUDENT ACADEMIC AFFAIRS COMMITTEE

(Examples of areas of concern are student scholarship standards, recruitment, admissions, financial aid, and student retention.)

AFFIRMATIVE ACTION AND PERSONNEL POLICIES COMMITTEE

(Examples of areas of concern are affirmative action, the status of women, minority affairs, employment practices, benefits and compensation and insurance benefits.)

STUDENT BEHAVIOR APPEALS PANEL

(May establish hearing bodies on specific cases.)

FACULTY TENURE AND PRIVILEGES APPEALS PANEL

(May establish hearing bodies on specific cases.)

PANELS

(Separate panels as appointed by the President for searches, honorary degrees, special studies, faculty promotion and tenure, and other topics.)

Section 2.0
Policies and Practices

2.1 Government of the University

Policies and practices of the University derive from the total body of charter provisions, bylaws, resolutions, and Presidential directives by which the corporate staff is guided, as well as by policies and regulations initiated, recommended, and/or enacted by University governance bodies, including the President's Advisory Council, the Faculty Senate, and the Council of Deans, as approved by the President.

2.2 Canons (Rights and Responsibilities)

a. Academic Freedom

In the belief that academic freedom and responsibility are the very essence of a true university, the faculty and the administration of the University of Southern California concur in a basic statement on rights and responsibilities relating to academic freedom:

> The University Senate supports the right of all faculty and students to pursue freely their academic purposes. The integrity of the University rests upon its protection of the rights of professors to teach and to engage in research and of students to learn and to express their views, free from interference and coercion.
>
> Academic freedom extends to those who share these aims and responsibilities. Academic freedom cannot be invoked by those who violate the norms of conduct established in University rules to protect that freedom. Against such offenders the University has the right, and indeed the obligation, to defend itself. The sanctuary of the University does not protect acts violating civil or criminal law; such acts are illegal, whether committed on or off campus.
>
> Tactics to disrupt or obstruct educational operations are fundamentally inimical to University life. They deny students their right to an education and scholars their right to teach and engage in research. The right to demonstrate carries with it an obligation that normal functioning of the University will not be impeded. As in

society generally, individuals and groups bear responsibility for their actions. Those who participate in illegal acts or interfere with the rights of others are subject to University as well as civil sanctions.

This statement supplements existing University faculty policy governing appointments, promotions, salary increments, leaves of absence, and similar conditions, as found in this handbook and in other statements of policy.

In addition, the Council of Deans of the University of Southern California and the University Senate have endorsed the Statement on Freedom and Responsibility approved by the Council of the American Association of University Professors in Washington, D.C., Oct. 31, 1970. The complete AAUP statement is contained in Appendix 1B of this handbook.

b. Full-time Service

Full-time service of tenured faculty includes:

- Performance of teaching duties in accord with established requirements of the particular school or department in which the faculty member is employed.
- Professional development and enhancement of the public good and of the prestige of the University through research, scholarly publication, and interest in professional groups and societies.
- Counseling of students, assisting in registration and commencement, maintaining regular office hours, serving on University Committees, and performing such other institutional tasks as may be assigned in line with customary requirements during the academic year.

c. Supplementary Activity

It is recognized that certain types of supplementary activity may be professionally enriching, may contribute to the stature of faculty members and the University, and may complement or advance the educational and research program of the University.

Although supplementary activity may be within the framework of the academic and professional freedom of faculty members, it should be conducted with responsibility. Special care should be taken by faculty members when engaging in supplementary activity to avoid conflict with or infringement upon their paramount responsibility to and within the University.

This supplementary relationship may involve no more than an amount of time equal to an average of one day per week during the academic schedule. Deans and directors are responsible for administering this policy.

d. Professional Freedom and Responsibility

Professional freedom is inherent within the concept of academic freedom and denotes the right of a faculty member to select those approaches to the development and exercise of professional competence and those allocations of time and place for alternative functions and commitments as appear best fitted for this purpose.

Professional responsibility is a corollary of professional freedom. The faculty member owes responsibility to the standards of his/her discipline, professional and faculty colleagues, students, educational institution, and the community at large.

e. Conflict of Interest

The University assumes that each full-time staff member owes primary professional allegiance to the University and that he/she will be alert to the possibility that outside obligations, financial interests, or employment can affect the objectivity of decisions as a member of the University community.

To assist faculty members in understanding possible conflicts of interest or other problems that may develop, and to alert the individual, the department chairperson, and the University of potential conflict of interest, the following policy is set forth:

1. The joint statement of the Council of the American Association of University Professors and the American Council on Education, entitled "On Preventing Conflict of Interest in Government-sponsored Research at Universities," is endorsed by the University of Southern California. Copies of the statement are available at the University Department of Contracts and Grants to the principal investigator and staff when applying for a government grant or contract. (Appendix 1C contains the full statement of this policy.)

2. If in doubt concerning the possibility of conflict arising from a consulting or other remunerative activity, the staff member should consult the appropriate chairperson or dean. A department chairperson or dean having similar doubts should initiate consultation with the faculty member.

3. The Vice-President, Academic Administration and Research, serves as a resource person for information about government and University policies and regulations regarding conflict of interest and bears responsibility to collect and disseminate this information to the deans of the schools and colleges of the University and to other administrative personnel to keep staff members who report to them and who are working on government-sponsored activities acquainted with policies and regulations touching upon conflict of interests.

f. Endorsement of Commercial Products

Any action of a faculty member which might seem to commit the University to an endorsement of a commercial product should be avoided unless expressly authorized in advance by the appropriate Vice-President.

g. Participation in Political Activities

As citizens, the faculty and staff members of the University have the same rights and responsibilities of free speech, thought, and action as all American citizens. Their position, however, imposes special obligations, such as emphasizing that they are not institutional spokesmen, and exercising appropriate restraint.

Obviously, faculty and staff members have a binding obligation to discharge instructional and other regular duties, and performance of these duties may be impaired by any private activity requiring a large portion of time. For the mutual protection of faculty and staff members and the University, faculty and staff members campaigning as political candidates for state or federal offices will do so on their own time. For the period of such candidacy, it is required that they obtain leave of absence or continue work at the University on a part-time basis. Such leave of absence is not a sabbatical leave and, if full-time, is also without pay.

Leave of absence is not required of faculty or staff members who become candidates for offices of a temporary or parttime nature, such as membership on a municipal charter revision commission, delegate to the State Constitutional Convention, a member of a local school board or a holder of municipal office.

This policy is intended to safeguard the freedom of speech, thought, and action of faculty and staff personnel, and to avoid impairment of the significant contributions they are capable of making toward improved local, state, and federal government.

2.3 Academic Definitions and Designations

a. Faculty

The University Faculty consists of the President; the Vice-President, Academic Administration and Research; the Academic Vice-President; the Vice-President, Undergraduate Studies; the Vice-President, Health Affairs; the Vice-President, Student Affairs; the University Librarian; the Academic Deans and Directors; and members of the teaching and research staffs holding titles of Professor, Associate Professor, Assistant Professor, Instructor, and Librarian. The Vice-President, Student Affairs, works with all academic units and is a member of the Faculty.

b. *Academic Year*

As defined in faculty contract forms, the normal academic year begins the day after Labor Day and ends on the day of June Commencement. (The fiscal year begins July 1 and ends June 30.)

c. *Full-time Faculty; Tenure*

Full-time faculty appointments are made on the bases described below. Conditions for tenure also are presented.

Instructor. Appointed on an annual basis.

Assistant Professor. Appointed on an annual basis. Promotion from a faculty appointment at USC to Associate Professor or Professor confers tenure unless otherwise stipulated.

Associate Professor and Professor. When faculty members are directly appointed to these ranks, decision on tenure will be reviewed annually after appointment and will be determined within three years.

Probationary Period for Full-time Faculty. Beginning with appointment to the rank of full-time instructor or a higher rank, the probationary period should not exceed seven years, including within this period full-time service in all institutions of higher education. If, however, after a term of probationary service of more than three years in one or more institutions, a teacher is called to USC, it may be agreed in writing that the new appointment is for a probationary period of from one to four years, even though, thereby, the teacher's total probationary period in the academic profession may be extended beyond the normal maximum of seven years.

After two or more years of non-tenure service, notice of non-reappointment must be given in writing at least 12 months before the expiration of the appointment if the faculty member is not to be continued in service. During the first year, notice of non-reappointment must be given by March 1; during the second year, by December 15.

d. *Non-tenure Appointments; Special Designations*

Non-tenure appointments at the rank of Associate Professor or Professor are reserved for faculty who are eligible based on USC appointment and promotion procedures.

Special Designations. The following designations may be applied as indicated by the conditions of appointment:

- *Research Professor* designates distinguished faculty whose primary responsibility is to conduct research. Although by mutual agreement of the department chairperson and the professor he/she may teach, teaching is not obligatory with this rank. Research professorships are limited in number and made through established appointment procedures.

- *Visiting* designates temporary and non-tenured full-time faculty who are (a) citizens of another country and limited by their visas to temporary service, (b) on loan from another university or college, or (c) on loan from industry or government. A visiting appointment is normally limited to two years.

- *Clinical or Adjunct* designates academic ranks for distinguished part-time personnel whose appointments are considered indefinite. Adjunct faculty are defined as adjunct to, but not an integral part of, a department or school.

- *Lecturer or Teaching Assistant* designates all other full-time or part-time academic personnel.

- *Artist in Residence* designates faculty as appropriate to the school in which the artist is appointed.

- *Emeritus* is generally conferred only upon a Professor upon retirement or upon reaching the age of 65. It is granted upon recommendation of the school or department with approval of the appropriate dean.

Appointments in More Than One School. A joint appointment between two schools may be tendered only if the second school needs the faculty member and if he/she will teach or conduct research there. Tenure may be held, however, in only one school. In such instances, the academic ranks should be identical in both schools if at all possible. If the second school does not accept the academic qualifications of the first school, the term Lecturer should be used, rather than a lower academic rank.

Appointment to a second school need not depend on the faculty member's traditional academic background but rather should be governed by the rule of reason. Courtesy screening should be made by the department or school that can best evaluate the appointee's background. For example, a lawyer may be appointed to the Department of Psychiatry in the School of Medicine. Although he/she need not have an appointment in the School of Law, courtesy screening by the Law School is strongly suggested.

Promotion to a higher rank for faculty holding joint appointments should be initiated by the first school and corroborated by the second. If the second school does not see fit to promote the faculty member, it is advised to use the term Lecturer.

2.4 Professional Status

a. Contractual Conditions

Contractual letters shall be issued to all academic personnel, full-time or part-time, by the appropriate University officer. These letters shall specify academic rank and/or title, salary, tenure, or duration for all academic appointments. Any other conditions or limitations of employment also shall be given.

Whenever possible, academic appointment letters and contracts shall be issued to the respective schools by March 15. Contracts or salary notifications for the subsequent academic year shall be delivered to all continuing faculty preferably by April 1. Academic year salaries are paid in 12 equal installments on the 26th day of each month.

b. Academic Evaluation and Promotions in Rank

Promotions in Rank. A faculty member may be promoted in rank upon the recommendations of his/her department and dean, acting upon the advice of an appropriately constituted committee of colleagues, with the approval of the President's Committee on Academic Appointments and Promotions, as well as the President. The President's Committee includes faculty, among whom are women and/or minorities.

Criteria for Academic Evaluation. The two primary criteria for evaluation of academic achievement are excellence and creativity in teaching (and its associated scholarly preparation, student counseling and advisement at suitably scheduled times, and the direction of research), and/or scholarly research, publication, and/or writing and other scholarly activities, as well as performance, production, and design.

Outstanding performance in teaching or scholarly activity may constitute an appropriate basis for advancement, although it does not obviate the necessity for adequate performance in the other area of achievement. Normally, there is an expectation that there will be a balance between teaching and other scholarly activities. Any emphasis on one area must be determined by consultation between the faculty member and his/her department.

Service to the University in other ways, e.g., academic administration; departmental and University committee membership; curriculum evaluation and formulation; student recruitment, selection, and group advisement; as well as service to profession, community, state, and nation, may be supplemental criteria for academic evaluation and promotion in rank.

c. Candidacy for Degrees

Full-time members of the faculty of the rank of Assistant Professor or higher shall not be received as candidates or continued in candidacy, for any degree at the University of Southern California. Individual exceptions may be made only with the approval of the dean of the graduate division concerned and/or a special committee appointed by the President.

d. Conditions of Tenure

Faculty tenure is the right of an instructor to hold his/her position, because of rank, until the age of retirement. Only for specified causes and under stipulated procedures may the instructor be dismissed, demoted, or prematurely retired from that position.

In keeping with the nationally accepted professional practice but with the exceptions noted, Professors and Associate Professors have tenure.

Only the President is empowered by the Board of Trustees to take action relating to appointments, promotions, demotions, dismissals, premature retirements, and assignments to indefinite leave, of all personnel holding tenure positions as defined herein. Such action would normally be taken only after consideration of recommendation by the appropriate University officer.

Tenure faculty may be dismissed, demoted, or prematurely retired only upon proof of one or more of the following:

Neglect of duty
Dishonesty
Moral turpitude
Misconduct or serious violations of academic freedom that causes grave injury or brings extreme discredit to the University
Activity knowingly and willfully directed toward the violent overthrow of either the government of the United States or any of its constituent parts

Persons may be retired early upon proof of physical or mental incapacity, but in such cases financial benefits that have accrued as a result of service to the University shall not be forfeited.

Persons may be placed on indefinite leave without pay if bona fide reductions in staff become necessary because of financial exigency, but again without forfeiting financial benefits accrued through their University service.

Tenure for Librarians. Privileges and conditions of tenure apply to the Library staff. Librarian III shall be granted tenure equivalent to the rank of Associate Professor, and Librarian IV, the rank of Professor.

When librarians are directly appointed to these ranks, decision on tenure will be reviewed annually after appointment and will be determined within three years.

e. Faculty Grievances

Policies and procedures for the presentation and consideration of grievances of faculty members and librarians follow several levels of action as described below.

Administrative Phase. Grievances of faculty, including those concerned with promotion and tenure, are to be considered routinely within the University division or school affected, seeking an administrative decision by the appropriate Vice-President. Grievances of librarians in libraries under the direction of the University Librarian are to be decided in this phase by the University Librarian.

Mediation Phase. If a faculty member or librarian wishes to appeal a decision made in the Administrative Phase, he/she must, in the first instance, make the appeal to the Faculty Senate Committee on Rights and Responsibilities, which will attempt mediation, that is, try to get the concerned parties to agree upon a solution.

Due Process Phase. If, during the mediation process, the grievant decides that he/she wishes mediation to be suspended and a due process hearing held, he/she shall request the Faculty Senate Committee on Rights and Responsibilities to forward the grievance to the President for transfer to the University Panel on Faculty Tenure and Privileges Appeals. The Senate Committee will then promptly forward the grievance to the President, together with a report that mediation has not been successful, and the President will promptly refer the grievance to the University Appeals Panel.

The Appeals Panel is a standing University body. Its overall membership is made up as follows: At the beginning of each academic year, the President's Advisory Council nominates at least 12 full-time tenured faculty, four deans, and four students. Of these, the President appoints to the standing panel eight faculty, two deans, and two students. The chairperson and at least two other panel members will be tenured law faculty.

Upon receipt of a grievance through the President, the chairperson of the standing panel will send the grievant a list of panel members with a request that the grievant designate five faculty members to constitute the hearing body for his or her grievance. The grievant may add one of the deans and one of the students to the hearing body, but not one *or* the other. In the interests of expedition, the grievant may choose to authorize the chairperson of the standing panel to form the hearing body from those panel members who are earliest available for the hearing.

The chairperson of the standing panel will notify the members designated as the hearing body, will appoint a chairperson of the hearing body, and will set a time and place of hearing, giving at least 10 days' written notice to the faculty member and to the appropriate Vice-President or University Librarian.

At the conclusion of the hearing and deliberations of the hearing body, its chairperson will forward to the President a report containing its recommendations for the disposition of the grievance along with its supporting reasoning.

The President's final decision on the grievance will be made known to the grievant, the appropriate Vice-President or University Librarian, and the chairperson of the hearing body.

f. Procedures Relating to Dismissal

The grievance procedure described above may be used by a faculty member or librarian desiring to protest a University action to dismiss him or her with the following additional provisions:

Action to dismiss a faculty member or librarian must follow carefully detailed procedure with the full cognizance of the affected person, the appropriate Vice-President or University Librarian, and, as applicable, the Committee on Rights and Responsibilities of the Faculty Senate and the University Panel on Faculty Tenure and Privileges Appeals of the President's Advisory Council.

The full set of rights described below must be observed in any action to dismiss a faculty member or librarian with tenure or a non-tenured faculty member or librarian before the expiration of his/her appointed term; or in any action involving non-reappointment of a non-tenured faculty member or librarian for any reason other than failure to meet the academic standards and professional qualifications required of a faculty member or librarian of the University.

The appropriate Vice-President or University Librarian shall give written notice of the proposed University action of dismissal and the reason for the proposed action to the faculty member or librarian concerned, either personally or by certified mail.

At the same time, the faculty member or librarian shall be given written information concerning these procedures as well as the names of the Faculty Senate Committee on Rights and Responsibilities and the University Panel on Faculty Tenure and Privileges Appeals.

If the faculty member or librarian wishes to use the grievance procedure to challenge his/her dismissal, he/she must give written answer to the University's statement of reasons to the chairperson of the Faculty Senate Committee on Rights and Responsibilities and to the appropriate Vice-President or University Librarian within 30 days of being notified in writing of the University's action.

No hearing need be held unless the faculty member files the answer within the time specified. However, for good cause shown, the chairperson of the Senate Committee or the chairperson of the Appeals Panel may grant a reasonable extension of the deadline. If such answer is not filed within the specified time, the chairperson shall certify that fact to the appropriate Vice-President or University Librarian.

The hearing of a grievance including dismissal shall be conducted under the following principles:

(1) The faculty member concerned has the right to be present at all times when evidence is received or oral argument is being made and to confront any witnesses against him/her.

(2) The faculty member concerned may be assisted and represented by counsel of his/her choice. The University may be represented by the appropriate Vice-President, Dean of the College, or dean or director of the school affected, and/or by counsel, who may be present whenever evidence is received or oral argument made.

(3) The hearing need not be conducted according to technical rules of evidence. Any pertinent oral or documentary evidence may be received, but the hearing body shall, as a matter of policy, provide for the exclusion of irrelevant and unduly repetitious evidence. The faculty member concerned and the University may submit oral or documentary evidence, rebuttal evidence, and oral and written argument on the evidence and merits of the case; may inspect documentary evidence offered against him or it; and may conduct such cross-examination of witnesses as may be required for full disclosure of the facts.

(4) The hearing body shall use its good offices to assist any interested party to obtain the testimony of witnesses capable of giving pertinent evidence or documents relevant to the matter. Particularly in cases where neglect of duty has been charged, the hearing body shall hear testimony from faculty members in the same field of scholarship and teaching, either at the University or at other institutions.

(5) A full stenographic or tape record of the hearing shall be maintained and made available only to the parties directly concerned.

(6) There shall be no disclosure, by the hearing body or any of its members, of the evidence received during the hearing nor of the deliberations of the hearing body except as provided as follows:

At the conclusion of the hearing, as promptly as is consistent with proper deliberation, the hearing body shall formulate its findings, based upon substantial evidence, together with its recommendations. A written statement of findings and of recommendations, together with the stenographic or tape record, shall be filed with the President. A copy of the findings and recommendations shall be delivered to the faculty member concerned.

Thereafter, the President shall review the hearing body's findings and recommendations and, in light thereof, shall make final disposition of the case.

Conditions of Suspension. Whenever administrative action of dismissal, premature retirement, or indefinite leave of absence is contemplated, the faculty member concerned may be suspended from the performance of

University duties pending the hearing provided for above, if immediate harm to the faculty member or others is threatened by such continued activity. Such suspension shall be without loss of salary.

Variations in Procedure. Whenever for reasons of vacation or recess interruptions or other unforeseen complications, variations in these procedures become necessary, such variations shall be adopted only after mutual agreement of all parties concerned.

g. Retirement

Under provisions of a retirement policy for University faculty and staff adopted by the Board of Trustees April 5, 1961, the automatic retirement age is 65. The cognizant dean or administrative officer may, however, recommend to the President that a person who has reached the retirement age be retained at full or part salary and the same academic rank or with other appropriate title under one-year appointments until the age of 70. The President may authorize that such person be retained to the age of 70 but only with full annual review of the case and with the entire reappointment procedure each year beyond 65.

Any faculty member who reaches age 65 before September 1 of a given year shall be considered 65 years of age and normally shall be retired before August 31 of that year.

h. Leaves of Absence

Leaves of absence are governed by the policies and provisions described below. They concern sabbatical, special, sick, military, and maternity leaves.

Sabbatical Leave. Sabbatical leave may be granted to Professors and Associate Professors after six years or six semesters of accrued full-time service at the University. Deans and directors should take into consideration the following factors when making recommendations to the appropriate Vice-President:

(1) A definite and well-defined research or study program must be submitted for approval. A candidate should indicate what the prospects of completion of the project will be.

(2) Sabbatical leave will be allowed (a) six months on full salary for each six years of service, (b) one academic year on half salary for each six years of service, or (c) one semester at half salary for each six semesters of service.

(3) The school or division must absorb the instructional program of the absent member. Substitute appointments cannot be allowed for those on six-month leave.

(4) The absence of a faculty member should not jeopardize the academic program of his/her department.

(5) It is expected that the faculty member will return to the University for at least one year after leave of absence.

(6) Reports on progress as well as upon completion may be made as arranged with the dean.

Normally, sabbatical leave is taken immediately following the period of service to which the leave relates. The sabbatical leave privilege may not be accumulated, e.g., after 12 years, a sabbatical of two academic years may not be taken.

Also, the sabbatical should be taken over consecutive academic periods, e.g., fall and spring semesters of a given academic year, or spring semester and fall semester of consecutive years, but not fall of one academic year and fall or spring of the following academic year.

A department may make exceptions to these policies, however, to facilitate work or to meet other needs of the department, the school, or the University. In meeting such special needs or convenience, however, the faculty member does not forfeit any accrual toward a subsequent sabbatical entitlement.

Special Leave. A short-term leave of absence, one or two semesters, without pay, is applicable in general to the rank of Associate Professor and Professor. In special cases, non-tenure faculty may be granted special leave without pay when it is to the advantage of the University to do so.

Sick Leave. For absences of more than two weeks, application for sick leave is made through department administrators. The University grants sick leave with full pay to regular full-time employees. (Non-academic employees receive such benefit after six months of continuous full-time employment.)

Regular full-time faculty and staff employees are defined as those who are employed on a full-time basis and who are paid through the University, even though the source of some of the funds is from government contracts, private contracts, and grants.

Six months are allowed during a six-year period, subject to certain provisions. Application forms for extended sick leave are available at the Payroll Office.

Military Leave. The University is willing to cooperate fully with faculty and staff members taking part in the reserve program of the military forces which calls for 15 days' active duty training annually with the National Guard, Officers' Reserve Corps, or similar military organizations. This time is not counted against normal vacation time.

When a member of the faculty or staff is called involuntarily into the armed forces, it is the policy of the University to grant, upon request, a leave of absence to cover the term of service.

Maternity Leave. Where a pregnancy may affect a teacher's rights under the four-to-seven year probationary period (see Item 2.3-c, Full-time Faculty; Tenure), the conditions outlined below shall apply. (Maternity leave provisions for non-academic employees are described in the current USC Supervisor's Manual.)

A non-tenured faculty member is entitled to maternity leave without loss of her normal four-to-seven year probationary period. A total of two years of maternity leave is allowed during the probationary period, with full benefits and without loss of seniority.

2.5 Compensation

a. Pay Schedule

Single Semester or Summer. When services are performed throughout a given period (Fall or Spring Semester, Summer Session), payment shall be made as follows:

Fall (September 16 to January 31)
  1/9 on September 26
  2/9 on October, November, December, and January 26

Spring (February 1 to June 15)
  2/9 on February, March, April, and May 26
  1/9 on June 26

Summer (June 16 to September 15)
  1/6 on June 26
  2/6 on July and August 26
  1/6 on September 26

When services are performed during only a portion of a given period, payment is made on the above dates to the extent of the daily rate for the number of days worked through the end of each month.

Annual Pay Schedule. For full-time faculty, salaries are paid at the rate of 1/12 on the 26th day of each month, beginning September 26 and ending August 26.

b. Payroll Information for Salaried Employees

The information below generally pertains particularly to salaried personnel of the University. (For special provisions that apply to Medical School faculty, see the Procedure Manual of the School of Medicine.)

Appointments. All salaried personnel, whether on a short-term or continuous basis, must be appointed prior to the first day of employment, with a Payroll Change Request (Form No. 5202), prepared by the appropriate appointing officer, department chairperson, or dean. When approved by the appropriate Vice-President, this form is sent to the Payroll Office for processing of paychecks according to the terms of employment. A Withholding Exemption Certificate (Form No. W-4) must accompany each new appointment.

Employing Relatives. Relationship of an applicant to a current University employee shall not constitute a barrier to employment. However, employees should not be in a position to initiate or participate in decisions involving hiring, promotion, salary increase, or other subjective personnel considerations concerning immediate relatives.

USC adheres to the policy, *Faculty Appointment and Family Relationship*, adopted by the American Association of University Professors in April 1971 and by the Association of American Colleges in June 1971. Relationship to a current faculty member should not be a bar to equal opportunity in employment for a member of the same family. Under this policy, however, faculty members should neither initiate nor participate in institutional decisions involving a direct benefit (initial appointment, retention, promotion, salary, leave of absence, etc.) to members of their immediate families.

Payroll Deductions. The Payroll Office processes salary deductions for withholding tax, Social Security, group life insurance, TIAA-CREF, AID, Faculty Center charges, etc. It is possible to arrange with the Accounting Department, second floor of Owens Annex, to have deductions made to cover purchase of United States Savings Bonds.

Payroll documents must be received in the Payroll Office by the 10th of each month to ensure payment on the 26th.

Paychecks are released by the Bursar's Office in Owens Hall. Those salaried employees who desire to have paychecks sent directly to a bank or their home may make such arrangements through the Payroll Office and complete the forms to receive this service.

Terminations. A Notice of Termination (Form 5206), required in connection with the Unemployment Insurance Law, must be prepared for each employee terminated and must be filed with the appropriate Vice-President for faculty terminations or with the Personnel Office for all non-academic terminations. At the time of the exit interview, the terminated employee will receive the final paycheck.

c. *Payroll Information for Hourly-Wage Employees*

Hourly-wage employees are paid bi-weekly. Pay periods end every other Wednesday; time reports (Form Nos. 5204 and 5205) are submitted to the Payroll Office by noon on the following Friday; paychecks are issued the succeeding Friday.

Hourly wages must be approved by the appropriate Vice-President on Hourly-Rate Authorization forms (Form No. 5230). These forms must be received in the Payroll Office prior to the beginning of the pay period.

d. Services of the Bursar's Office

Office Hours. The Bursar's Office is open from 9:30 a.m. to 4:30 p.m., Monday through Friday.

Check Cashing. Personal checks may be cashed by faculty and professional staff at the Bursar's Office in Owens Hall. Personal checks up to the amount of $100 will be cashed upon presentation of an identification card. No second- or third-party checks or payroll checks are accepted.

Traveler's Checks. Faculty and staff members may obtain Bank of America Traveler's Checks without a fee from the Bursar's Office.

Identification Cards. Identification cards are issued each year to all full-time faculty and staff. The card enables them to make purchases at the Bookstore and the University Pharmacy and to cash checks at the Bursar's Office. Some Bookstore items may be purchased at a discount. (Those not receiving cards may call the Payroll Office, sta. 2115.)

2.6 Special Activities

a. Extra Compensation

College of Continuing Education and Civic Center. Instructional staffs of College of Continuing Education and the Civic Center are selected from the full-time faculty and from professional and business personnel in the local area. Appointments are on a semester basis by recommendation to the dean or director concerned.

A full-time faculty member may be recommended to teach a maximum of eight units for extra compensation in any academic year, but no more than four units in a single semester. Remuneration is paid according to rank and the number of units taught. Contracts are issued contingent upon meeting minimum enrollment requirements.

Summer Session. Members of the full-time faculty are given the first option to teach courses offered by their departments during the Summer Session, but they are urged not to teach more than two consecutive summers or more than one session in a summer. Ordinarily the teaching load does not exceed in units the number of weeks in a session.

Other Educational Institutions. No regular full-time faculty member may teach concurrently at another educational institution without express written prior permission from the appropriate Vice-President, upon recommendation of the instructor's dean or director.

Consulting. Faculty members may engage in professionally related and enriching off-campus consultation or employment. This supplementary relationship must not involve more than an amount of time equal to an average of one day per week during the academic schedule. Deans and directors are responsible for administering this policy.

Research and Other Sponsored Activity. No extra compensation or override payment is permitted during the academic year on government or private grants or contracts. No override payment is permitted for 12-month employees.

For government grants and contracts during the summer, 2/9 of the base annual salary is generally provided for two months' service. An additional 1/9 for one more month of service is permitted when approved by the awarding agency. In either case, the arrangement should be included in the proposal to the government or private agency concerned.

b. *Proposals*

All proposals for sponsored research and educational activities should be submitted with the University Proposal Coordination Record form to the Department of Contracts and Grants (at the Main or Medical Campus, as appropriate), at least two weeks prior to submission or deadline date. The University manual for the administration of sponsored research and educational activities provides detailed information on this subject. Additional information regarding proposals, their format, number of copies required, current indirect costs and fringe benefit rates, and other necessary information may be obtained from the Department of Contracts and Grants, sta. 2591, Main Campus, or sta. 432, Medical Campus.

In order to facilitate the University's coordination of sponsored projects, all proposals relating to academic programs—whether to private (including foundations) or government sponsors—must be transmitted to the sponsor through the Department of Contracts and Grants, with approval of the Vice-President, Academic Administration and Research. All sponsor contacts for site visits to the University should also be coordinated through this office.

The University's Proposal Coordination Record describes the various University administrative approvals required for a proposal prior to transmittal to this office. Transmittal of a private sponsored academic proposal will be coordinated with the Office of University Affairs.

c. *Patent Policy*

A basic function of the University is to contribute to knowledge and culture by creative activity in all academic areas, and to disseminate the results of such creative activity by the most appropriate and effective means. The securing of a patent, in certain circumstances, may be the most appropriate and effective means of disseminating the knowledge involved, and it is the general policy of the University to encourage and support production of such patents for the purpose of dissemination of knowledge.

The complete policy governing patents as related to the University is contained in Appendix 2A of this handbook. This statement was approved by the Council of Deans on October 17, 1970, and by the University Senate May 15, 1971, as well as by the appropriate University offices.

2.7 Benefits

A variety of benefits is available to faculty and staff members. Literature detailing benefits and special services is available at the appropriate offices. A general description is given below.

a. Insurance and Retirement

The **Insurance and Retirement Division** has brochures which explain in detail the insurance programs listed below. All inquiries and applications should be directed to this office or for Medical School Faculty to their personnel supervisor in the Business Office.

Group Life Insurance. The University has a contributory group life insurance program for its regular full-time staff members. Under this plan, staff members may have $1,000 of term life insurance for each $1,000 or portion thereof, of their annual salary. The staff member pays 25 cents per $1,000 of insurance, and the University pays the balance.

Unemployment and Disability Insurance. By law all employees of the University are presently covered by unemployment insurance.

Hospital and Medical Insurance Programs. The University has several hospital and medical programs for employees. The University pays the cost (up to a maximum of $10 per month) of the insurance for the employee. Optional coverage for spouses and dependents is available; its cost is borne by the employee through payroll deductions.

Unless otherwise indicated, application for any of these plans must be made within 60 days of employment. An enrollment period is held annually during the month of February for those wishing to subscribe subsequently or change from one plan to another. For application forms and further information, call the Insurance and Retirement Division (sta. 2163).

Disability Benefits. The Voluntary Plan of Disability Benefits became effective as of January 1, 1974. Employees who do not wish to participate in the Voluntary Plan may continue in the State Disability Insurance Plan by giving notice to the Insurance and Retirement Office in Stonier Hall or the Medical Campus Employment Office in the Keith Administration Building.

Disability benefits are provided for two classes of employees:

> Class I are full-time employees with at least six months of continuous full-time employment. These employees are entitled to 100 percent of gross pay for 26 weeks and then 60 percent of gross pay (maximum monthly benefit is $2,000) until date of recovery from the disability or achievement of age 65.
>
> Class II are full-time employees with less than six months of continuous full-time employment and all part-time employees. This

class of employees will receive the same benefits as under the State Plan, except the benefit is payable for 52 weeks instead of 26 weeks. The benefit is approximately 55 percent of pay up to a maximum weekly benefit of $105 (increased to $119 as of April 1, 1974).

Benefits can commence on the first day of the disability if the employee is hospitalized and on the eighth day if the employee is not hospitalized. In addition, $12 per day for the first 20 days of hospital confinement is paid.

All benefits will be coordinated with Social Security or any other benefits to which the employee is entitled.

The contribution rate in 1974 for both the Voluntary and the State Plan is 1 percent of taxable earnings up to $9,000 per year. Information concerning the plans and claim forms are available at the Insurance and Retirement Office in 116 Stonier Hall or 416 Keith Administration Building, Medical Campus.

TIAA-CREF (Teachers Insurance and Annuity Association-College Retirement Equities Fund). The University has a plan with TIAA under which the following types of annuities can be purchased for its regular full-time faculty and staff who have attained age 25:

(1) TIAA annuities, which are fixed dollar annuities.

(2) CREF annuities, which vary from year to year, to adjust to the economy of the nation as reflected by the market value of the investments of CREF in common stocks and other equities.

Premiums may be divided in one of the following ways:

PLAN	TIAA	CREF
1	100%	0%
2	75%	25%
3	50%	50%
4	25%	75%
5	0%	100%

The University will contribute toward each staff member's retirement contracts an amount equal to 8 percent of the base salary, authorized on an annual basis. The contribution is not made for additional payments, such as Summer Session and the College of Continuing Education. To qualify for this contribution, the staff member must pay a minimum of 5 percent of base salary as premiums.

The staff member may make payments in one of the following methods:

(1) By having the premiums deducted from the monthly paycheck. Under this method there is no upper limit to the amount that the staff member can pay, or

(2) By having the base salary reduced by the amount of premium payment. The maximum reduction is an amount equal to 10 percent of the base salary. Under this method the amount of current taxable income is reduced by the amount of the salary reduction, or

(3) By the combination of 1 and 2 above.

Staff members who leave University service within five (5) years of membership may elect to withdraw their money from TIAA with the permission of the University and TIAA, transfer it to another educational institution, or continue premiums on their own. After five (5) years of membership, the premiums are not available until retirement age. The premiums cannot be used as security for loans.

TIAA/CREF has available a cashable annuity contract, The Supplemental Retirement Annuity (SRA), to accumulate tax-deferred annuity funds that are not part of the retirement plan. The new SRA contracts can be written only for amounts over and above the noncashable basic contracts. Therefore, no portion of the University contribution can be applied to the SRA contracts.

In the event of the death of the staff member prior to retirement, all accumulations are payable to named beneficiaries or to the member's estate.

The amount of the annuities will vary for each staff member based upon salary, rate of payments made by staff member, age when premium payments started, age when annuities begin, and settlement option elected by the staff member. Settlement options are not determined until annuities are to begin.

A faculty member with a part-time appointment may purchase TIAA and CREF contracts by way of salary reduction to take advantage of the deferred Federal Income Tax. The University does not make any contribution to the contracts for these part-time staff members.

b. Tuition Assistance

It is the policy of the University to allow tuition assistance to the dependent children and spouses of its full-time faculty and staff members. Dependent children who are married during their four-year entitlement will continue to be eligible notwithstanding their change in marital status. Tuition assistance, of course, does not include general fees, special educational service programs, nor special fees for individual or small group instruction, dissertation, etc.

Full-time faculty and staff employees are defined as those who are employed on a full-time basis and who are paid through the University, even though the source of part or all the funds is from government contracts, private contracts and grants, etc. If employment status changes during a semester or session, assistance will be prorated. Those included within the group of administrative staff members are determined by the President of the University.

Faculty and Administrative Staff Members

Assistance for faculty and administrative staff members who are officers of the University or members of the Council of Deans is allowed [illegible] follows:

To audit one course per semester: no charge
To take one course per semester for credit: 50 percent assistance.

Spouses. 50 percent assistance for a maximum of four academic years of course work (or equivalent in units for credit or audit) at the undergraduate, graduate, or professional school level.

Dependent Children. 100 percent assistance for a maximum of four academic years of course work (or equivalent in units for credit or audit) required for a four-year bachelor's degree. For example, a student will receive assistance for the number of units required for graduation, or assistance on more than is required if the extra units are taken in a period of eight semesters (or seven semesters plus Summer Sessions, etc.). Units accepted from other institutions will be deducted from the four-year maximum allowance. A student who enters a professional school before attaining a bachelor's degree may receive assistance in the professional school up to the four-year maximum.

All Other Staff Members

Full-time employment status on the first day of classes of the term concerned is required. Satisfactory hours must be arranged with the department head.

(1) Audit of one course per semester if the course is in a field related to the staff member's regular duties: no charge, or

(2) Audit of one course per semester in a field not related to regular duties: 50 percent remission, or

(3) Eight units for credit (the maximum number of units for which full-time staff members may enroll): 50 percent assistance. (Only one course that meets before 5 p.m. may be taken.)

Summer Session

Faculty and administrative staff members receive benefits as described above.

All other staff members are same as above, except that the maximum number of units of assistance is as follows: The number of units is limited to one-half the number of weeks in the session, e.g., 5 units for a 10-week session.

Tuition Remission. The University allows tuition remission to its regular full-time staff members, their spouses, and children. Remission is at the rate of 50 percent tuition for the faculty member, a spouse, and children of non-academic staff members who have been employed for less than five years. Dependent children of teaching faculty, certain administrative personnel, and non-academic staff members who have been employed for more than five years may receive 100 percent remission to cover their first four years of undergraduate University work. Application forms are available at the following locations: Vice-President, Academic Affairs; Receipts Audit; Department of Collections; and the receptionist on the second floor of Owens Hall and the School of Medicine Business Office.

Children of Deceased or Totally Disabled Employees

Upon the death or total disability of a regular, full-time employee, the employee's children shall be entitled to receive tuition assistance as follows:

Children Enrolled. Children enrolled at the University of Southern California or elsewhere under the Tuition Exchange program at the time of death or total disability shall continue to receive the tuition remission until the maximum allowance shall be accumulated, or the 25th birthday is reached.

Children Not Yet Enrolled: For children not yet enrolled, tuition assistance, as granted by the University for the particular employment classification of the former employee, shall be computed on the basis of one year (30 to 34 units) for each year of the parent's full-time service to the University, with a maximum of four years' tuition assistance for undergraduate studies, to be divided among one or more such children as the surviving parent or guardian may designate, but no child shall receive tuition assistance benefits beyond four years or his/her 25th birthday.

Other Conditions. If the surviving parent remarries while a child is receiving, or qualifying to receive, tuition assistance as provided for above, the continuation of the privilege of receiving tuition assistance shall depend upon need as determined by the President of the University, or someone designated by him/her.

Any children of deceased or totally disabled employees who qualify for partial or total tuition scholarships from other sources will be eligible for tuition assistance only to the extent that such scholarships do not cover full tuition.

Tuition Exchange

The University of Southern California belongs to the Tuition Exchange, a non-profit corporation to promote and administer reciprocal tuition assistance for children and full-time faculty members and other eligible employees of those higher educational institutions which grant internal full tuition assistance.

Central to the successful operation of the Exchange is the ability of each institution to effect a reasonable balance between its "exports" (children sent to other institutions) and its "imports" (children accepted from other institutions). There are no cash exchanges involved in the operation of the plan. It follows, therefore, that a tuition assistance request may not be honored by another member institution, this may be the result of a completed quota, or because the institution has declared its intention of withdrawing from the Exchange.

The following is the procedure for parents:

(1) In general, administrative officers designated by the President, and full-time faculty members are entitled to internal full tuition remission, and, therefore, to Tuition Exchange privileges. For information about entitlement, it is suggested that an early inquiry be made to the appropriate Vice-President through regular channels.

(2) Early during the child's senior year in high school, the eligible parent should contact the Controller to learn full details. At that time, a membership list of Tuition Exchange schools will be made available on a loan basis.

(3) Application for admission and for normal scholarship assistance should be submitted to the college or colleges concerned without any regard to the applications for tuition remission. Although the catalogues of such colleges should be consulted to determine deadlines for submission of scholarship and admission applications, the Office of Admissions staff will provide needed assistance.

2.8 Charitable Giving

AID is a service that provides for regular support of charitable causes and eliminates the periodic solicitation that would otherwise occur on the campus. Through the AID program, faculty and staff pledge their support of those less fortunate. AID not only offers opportunity to designate a gift to a *bona fide* health and welfare charitable cause, but also to have each participant charity share in the contribution. It also provides an immunity from the solicitations by the monthly neighborhood and on-the-job drives of many charities.

Contributors may designate their recipients. Staff members may make a contribution by a one-time check or by the continuing payroll deduction system. Inquiries about participation should be directed to the Insurance and Retirement Office, sta. 2163 or 746-2163.

2.9 Travel

The University will pay the expenses of deans, directors, and other faculty and staff members of the University when they travel on official University business. It may also pay the expenses of members of the faculty when they present invited papers to learned societies.

Information concerning travel and travel insurance is obtainable in the publication, *Travel Policies and Procedures*, available from offices of deans and directors.

2.10 Credit Union

The USC Federal Credit Union, organized in 1973, offers a variety of financial services to its members. Membership is available for a $1 fee, together with a minimum share deposit of $5. Owned and operated by its members, the Credit Union does not pay interest but rather pays dividends based upon earnings, with a maximum rate of 7 percent. The Credit Union is chartered and governed under federal regulations; government examiners regularly inspect records and accounts. Member deposits provide funds from which loans are issued to other members. A credit committee approves all loans. For smaller loans, only a signature is required. For larger loans, chattel security or a co-signer is required. Information may be obtained by calling the Credit Union office, 111 Physical Education Building, 746-6798. Office hours are 9 a.m. to 4 p.m. daily.

2.11 Employee Insurance Programs

Under the Office of Risk Management and Insurance, insurance payable by payroll deduction is offered full-time faculty and staff. An automobile insurance service is available, and a homeowners insurance plan is being developed. The automobile insurance service is available on an open enrollment basis to qualified employees at any time. Under arrangements with a commercial broker, the automobile insurance program offers advantages such as premium savings, no-deposit start-up, monthly payroll deduction, broad coverage, and 24-hour claim service. The Risk Management and Insurance office telephone number is 746-6331. The office is located in Owens 101. The commercial broker handling the University program may be reached at (213) 380-1600.

Section 3.0
Student Relations

3.1 Student Body

For the purposes of relating to University Regulations and Policy, a student shall be defined as one who is currently enrolled, or one who has completed the immediately preceding semester and is eligible for reenrollment.

All pertinent rules and regulations affecting the individual student and the Student Body may be found in the current issue of *SCampus*, the student handbook.

3.2 Admission

Admission to the University is administered by the Office of Admissions. Although some admissions functions are delegated to schools and departments within the University, the Office of Admissions receives and processes all applications and fees, evaluates entrance records, and mails appropriate letters of acceptance or rejection.

Admission to the University is determined by the Office of Admissions and appropriate selection committees in all cases, except for applicants to Graduate Business, Dentistry, Law, or Medicine. For the latter schools, each processes its own applications.

Application forms may be obtained by mail or in person from the Office of Admissions. A fee of $25 must be sent with the completed application. This fee is not refundable.

Credentials for admission must include complete records of all previous high school and college or university work. The student must request the registrars of all schools he/she has attended to forward official transcripts of record direct to the Office of Admissions. The University does not undertake to send for these credentials.

The application for admission and complete credentials should be in the Office of Admissions as early as possible but no later than 30 days prior to the opening of the applicable semester.

3.3 Student Records

Specific practices and policies apply to the maintenance and use of student data. They are described below.

a. University Responsibility

Assumption of Trust. When a student enters the University and submits the required personal data for academic and personal records, there is an implicit and justifiable assumption of trust placed in the University as custodian of these data. A similar relationship should be maintained relative to subsequent data generated during the student's enrollment: academic performance, activities, personal interviews, and disciplinary proceedings.

Student Records and Communications. In its relations with students, the University intends to preserve the confidential character of the communications and records so as to insure that its educational and counseling processes are carried forward in the most effective possible manner. Student records and communications will not be released to non-university agencies or persons without the consent of the student; exceptions normally would be by authority of a court order.

b. Use of Student Records

Releasable Information. Information of a public or directory nature will be furnished; that is, information that has appeared at one time or another in publications that are available to the general public or are a matter of public record, such as current and past addresses, dates of attendance, and degree earned.

Request from Prospective Employer. On written request of the student concerned, the University will respond to inquiries from prospective employers, public or private. The University respects the right of its students to determine prospective employers to whom they wish the University to furnish non-public personal information.

Request from Other Educational Institutions. The University will send written reports to other educational institutions only with the formal consent of the student concerned.

Request from Faculty Members. Faculty members may request objective information contained in permanent academic records when needed in discharge of their official duties.

Relationships with Parents. The University recognizes the legitimate interest of parents and guardians to consult with professional staff about the academic and personal well-being of their sons and daughters. This consultation will be carried on consistent with the basic policy on student records except that records of students 18 years of age and over will not be released without the signed release of the student.

Student Access to Records. A student may view the contents of his/her personal record with a member of the professional staff. If the student believes the information in the record is inadequate or inaccurate, he/she may propose corrections for inclusion in this record. Transcripts may be reviewed at any time, and may be altered only under authority of the Registrar.

Academic Information. Information regarding the academic achievement of students being considered for University-associated honors, awards, or scholarships, may be furnished to the committee responsible for making the awards.

Information on Political Membership. Political membership or information is not recorded in student records unless the student expressly requests the inclusion of such information. This is released only at the student's request.

Destruction of Records. Disciplinary records are not a part of the student's permanent records, unless it is a matter of expulsion. Disciplinary records are destroyed four years after graduation or at the end of six years from the date of a disciplinary decision, whichever occurs first.

3.4 Registration and Change of Program

a. Registration

Complete registration instructions are listed in the *Schedule of Classes* for each semester. These instructions include dates, times, and locations for early and regular registration.

All University departments who distribute "H" cards must comply with these registration dates and adjust their office hours accordingly.

b. Change of Program (Drop and Add)

No course may be added or dropped by a student except on forms specially provided through the Registrar's Office (USC Request for Change of Program). The student must obtain the approval of the instructor of a course he/she wishes to add. The instructor's approval is not necessary to drop a course during the first nine weeks as the Registrar notifies the instructor by sending him/her a new class list. Complete instructions are printed on the Change of Program card.

c. Unofficial Withdrawal

A student is responsible for all courses in which he/she registers, unless he/she withdraws officially. If he/she merely ceases to attend a course, he/she is not entitled to the mark of W, but must be graded F.

d. Cancelled Class

The department should notify the Registrar's Office of all cancelled classes. If a class is cancelled by the University, a student who is registered in that class must officially drop that class from his/her program at the Registrar's Office.

e. Class Section

A student is responsible for attending the section of a class in which he/she has registered. If the student attends a section of a course other than that for which registered, he/she may receive a grade of F in the course. If the student wishes to attend a section for which he/she is not registered, the student must use the drop-and-add procedure.

f. Cancellation of Registration

A student who wishes to cancel his/her entire registration must file a written application at the Registrar's Office. Tuition is refundable as published, at the option of the University.

g. Advisement

Students should be advised of the academic and counseling services available to aid them in changes of registration or in cancellation. (For details, see Item 3.8.)

3.5 Grading

Grading policies and practices for the University are described below. It is to be noted that the Professional Schools differ in certain grading practices from those of the general campus.

a. Definition of Grades

Except as defined differently for Professional Schools, grades are defined as follows:

A	Work of excellent quality
B	Work of good quality
C	Work of fair quality; not outstanding
D	Work of minimum passing quality
F	Failure. This grade is awarded to any student failing to meet the minimum standards for passing the course.
IN	Incomplete Work. A student will be permitted to receive a mark of IN in a course, if, because of illness or other circumstances judged fitting by the instructor, the student is incapable of completing assigned work after the last day designated in the semester calendar on which a class may be dropped with work of passing quality (last day of 12th week). Work completed must be otherwise satisfactory and of passing grade. The mark of IN should normally involve a specific deficiency, such as

failure to finish a term paper or a research project, or failure to take the final examination. Marks of **IN** must be removed within one calendar year of the assignment of the **IN** mark.

IN's earned prior to Fall 1972 that are not made up within the one-year time limit remain permanently on the student's record and will be included in the computation of the grade point average. **IN**'s earned in Fall 1972 and thereafter that are not made up within the one-year time limit will be automatically changed to **W**'s (withdraw). Until an **IN** is made up with a final grade, it will not be included in the computation of a student's grade point average.

Removal of **IN** is accomplished in either of two ways: (1) the student obtains an Application for Removal of **IN** from the Registrar's Office, pays the required $10.00 **IN** Removal fee, and makes mutually satisfactory arrangements with the instructor to make up the missing work and/or examination, and the instructor notifies the Registrar of final grade; or (2) the student may, if he/she chooses, remove the **IN** by formally reregistering in and satisfactorily completing the course within the authorized period for removal of the **IN**. In the latter case, the original **IN** will not be included in the grade point average.

CR Credit. Undefined grade given when a student qualifies for a Pass.

Courses numbered below 500. Certain undergraduate courses have been authorized by the University Curriculum Committee to be graded on a Pass/No Pass basis. Such courses include Directed Teaching, Special Problems (490's), and electives permitted by the Pass/No Pass option in the College of Letters, Arts, and Sciences, School of Engineering, and School of Business (effective February 1974). To qualify for a Pass, a student must have done work of at least **C** quality. The mark of Pass will be recorded on the student's record. A No Pass grade (**D** quality or below) will be recorded on the student's record as **V** (auditor). No Pass grades will not be counted against a student's grade point average. The mark of **IN** is also authorized for such Pass/No Pass courses.

Pass/No Pass options vary for each of the professional schools. Details appear in their respective bulletins, including the one regulation common to all: Under no circumstances will a student be permitted to change a decision of electing a Pass/No Pass course to a letter grade or vice versa at a date later than the time of registration.

Courses numbered 500 and above. Certain graduate courses have been authorized by the University Curriculum Committee to be graded on a Pass/–(Dash) basis. These courses include certain kinds of experience courses, such as internships, field work, readings courses, critiques, practicums, etc., and all research (590, 790), Thesis (594, 694), and Dissertation (794) courses. Work of A or B quality is required to qualify for a Pass grade. The Dash (–) grade encompasses incomplete work, work in progress, or work below the minimum B quality work. When the dash mark indicates incomplete work, or work in progress, the same time limits exist for the assignment of a final grade as presently exist for the removal of an Incomplete. Replacement of the mark of (–) or Dash, with a mark of Pass (Credit) is accomplished in the same manner as the removal of an Incomplete, with the exception of the $10.00, which is not charged. The (–) or Dash grade will not be counted against a student's grade point average. The mark of Incomplete is not authorized for courses graded Pass/–.

W Withdraw. A student who withdraws officially prior to the end of the ninth week is entitled to a mark of W. If the student withdraws after the ninth week, he/she should receive a W or an F depending upon the quality of work at the time of withdrawal. Changes from Credit to Audit are considered similar to withdrawals, insofar as these regulations are concerned.

V Audit (Visitor). This grade is assigned for a student who officially audits a course or receives a No Pass in a Pass/No Pass course.

b. The Grade Point System

The system of grade points is used to determine a student's general average or standing. Grade points are assigned to the letter grades and incomplete marks as follows:

4 grade points for each unit of grade A
3 grade points for each unit of grade B
2 grade points for each unit of grade C
1 grade point for each unit of grade D
0 grade points for each unit of grade F (or IN's earned prior to September 1972)

The student's scholarship average is obtained by dividing the number of grade points by the number of units attempted. The division is carried out to two decimal places; thus, a C average calls for a gradepoint average of 2.00.

Marks of IN, CR, and Dash (–) are not included in computation of the grade point average.

c. *The Professional Schools*

Grading systems for the Professional Schools are described below.

School of Law. A numeric scale from 55 to 100 is used, with a cumulative average of 70 and above passing but with 70 to 73 constituting academic probation.

School of Medicine. Numerical or letter grades are not awarded at the USC School of Medicine. The performance of the student is reported as Satisfactory (S) or Unsatisfactory (U). The student is cited for Honors (S* – Honors) if the performance resulting in a satisfactory report is exceptional. Definitions of satisfactory and unsatisfactory are given below.

> S *Satisfactory.* This confirms the fact that the student's performance is adequate, or better than adequate, in the subject evaluated. This grade is entered immediately on the transcript.
>
> U *Unsatisfactory.* This means that, in the opinion of the course faculty, the student's performance is deficient; the student has not met the criteria set by the course faculty for satisfactory performance. An unsatisfactory designation is accompanied by a statement from the course faculty outlining the nature and degree of deficiency. The faculty will recommend remedial action in the form of reexamination alone; completion of overdue work, a special project, or summer study, with or without reexamination; or repetition of the course. A final designation of S or U is not entered on the student's transcript until completion of the remedial action or expiration of the time specified for remedial action.

Clerkships and Continuum. The last two years of medical school are designed as a continuum, with 85 weeks of required clerkships in basic medicine, basic surgery, and other specified areas. The clerkships are evaluated primarily on the basis of performance, although examinations on cognitive material may also be given. Elective clerkships are evaluated on a Cr or U basis. As in other evaluations, the descriptive portion of the evaluation is desirable in order to be able to ascertain the student's performance. The descriptive performances are useful for reference in postgraduate educational recommendations.

All students are required to take Part I and Part II of the National Board of Medical Examiners examination. The results are used in student evaluations. No student is promoted to the fourth year without passing Part I of the National Board examinations.

School of Dentistry. The grading system for the School of Dentistry is as follows:

> The letter grade system is used for all required predoctoral and dental hygiene courses.

A	Work of excellent quality
B	Work of good quality
C	Work of fair quality
D	Work of poor but passing quality
F	Failure

The credit/noncredit system is used for certificate programs and approved elective courses.

CrH	Credit with honors, excellent
Cr	Credit. An F grade must be made up to a Cr. Courses for which a letter grade is not assigned should issue Cr to indicate successful completion of the course
NCr	Noncredit, failure

Other grades which may appear on a transcript are:

N	Issued to an entire class only, grades are given at the end of a subsequent trimester
IW	Incomplete work
ICW	Incomplete clinic work
WP	Withdraw Pass
WF	Withdraw Fail

d. Distribution of Grades

The actual distribution of grades in each department will periodically be reported for purposes of study to the Commission on Student Academic Standards by the deans, division chairpersons, and department chairpersons concerned. Departments are asked to discuss this matter each year as a means of maintaining standards. Reports are considered confidential.

e. Repetition of Courses

A student may not repeat for grade points a course in which he/she has previously earned a grade of A or B, nor repeat for grade points a course in which a grade of C had been earned previously, without advance approval of the Commission on Student Academic Standards. A student may repeat courses in which grades of D or F were received. When a course with a D or F grade is repeated and passed, the original D or F will be bracketed on the student's record and omitted from the computation of the grade point average. In no case will additional unit credit be allowed for repeated courses or duplicated work.

A student may repeat courses in which he/she has earned marks of IN. For specific details, refer to 3.5, Grading (mark of IN).

f. Probation and Warning

Any student whose cumulative scholarship average in the University falls below C (2.00) will be placed on academic probation. A student whose semester average falls below C, but whose cumulative scholarship average in the University is 2.00 or higher, will be placed on academic warning.

g. Disqualification

A student on academic probation will be disqualified if, at the end of any academic year, his/her cumulative record in the University shows a shortage of 13 or more grade points for a C (2.00) average. A student, whether on probation or not, will be subject to disqualification if the Commission on Student Academic Standards at any time determines that the student is deficient in academic achievement.

h. Midterm Examinations

All midterm examinations (or other measures of student performance) are to be scheduled and graded with results returned to students in time for them to meet deadlines for dropping courses.

Students are to be notified personally by each instructor if their performance is unsatisfactory (D or F) in time to withdraw prior to the end of the ninth week of the semester. All students should be made aware of their approximate status before the end of the twelfth week, so that they may decide whether to withdraw before the published deadline (end of twelfth week), thus eliminating the necessity of petitioning.

It is suggested that no midterm examinations be given later than the eleventh week of the semester. Results of such examinations must be given to the students before the end of the twelfth week.

i. Correction of Grades

A grade once reported to the Registrar may not be changed except by petition of the instructor to the Commission on Student Academic Standards on a Correction of Grade form. Changes should be requested only on the basis of an actual error in assigning the grade, not on the basis of a request by the student or special consideration for an individual student.

The appropriate form, Request for Approval of Correction of Grade, is available upon faculty request from the Registrar. The form is available only to faculty members.

3.6 Final Examinations

A regularly scheduled two-hour examination is held at the close of the semester in every undergraduate course conducted as a class. No undergraduate student is permitted to omit or to anticipate a final examination and no instructor is authorized to permit the student to do so. Graduate professional schools have their own policies for final examinations.

a. *Examination Schedule*

The schedule for the final examinations of each session is printed in the *Schedule of Classes* for that session. Instructors in College of Continuing Education and Civic Center classes are notified each semester of the days designated for final examinations. Deviations from the official examination schedule are unauthorized unless advance approval is obtained from the University Curriculum Committee.

b. *Weight of Final Examination*

The marks for a course are based on recitations, papers, and examinations. The final examination shall be weighed at the discretion of the instructor, as from 25 percent to 50 percent in determining the grade for the course.

c. *Final Examinations on File in Reserved Book Room*

As a way of minimizing the effect of foreknowledge of examinations and of improving final examinations, the policy of placing final examinations on file in the Main Library was established in the Fall of 1950. The responsibility for placing examinations in the Main Library rests with the instructor, and if examinations have not been received, the student will be referred to the instructor. Examinations will be submitted to the Librarian for stapling into a vertical file folder, and will be loaned to students at the Check-out Desk in the way reserved books are issued.

d. *Final Examinations Missed*

If a student whose work is of passing grade misses the final examination, he/she may be given the mark of IN, provided that an acceptable reason is reported to the instructor before the time to turn in final grades. For the meaning of this mark and the examination procedure for removing it, see Item 3.5(a).

e. *Examination Procedures*

It is University policy that instructors be present during course examinations (*other than take-home or open-book* examinations). To assist instructors in the arrangement and administration of examinations, the following guidelines have been established:

- If the class seating arrangement results in crowding during lecture sessions, it is advisable to schedule a larger room for the examination.

- In classes with 40 or more students, proctors should assist the instructor. An additional proctor should be added for every 40 students.

- Students should be encouraged to sit apart from each other to minimize distractions and allow proctors access in aiding students during the examination.

Suspected Dishonesty. While it is assumed that students will conduct themselves maturely during an examination, it is useful for an instructor to understand policy and procedures to be followed if a student is suspected of cheating.

Cheating refers to the use of unauthorized materials, communication with fellow students during an examination, attempting to benefit from the work of another student, and similar behavior that defeats the intent of the examination. It is often difficult to distinguish between a culpable act and inadvertent behavior resulting from the nervous tensions accompanying examinations. The procedures outlined herein should minimize errors in judging such behavior.

Where a clear violation has occurred, the instructor may disqualify the student's work as unacceptable and assign a failing mark to the paper. It is recommended that the instructor report the incident to the Dean for Student Life for appropriate counseling and action.

Further, the instructor should become acquainted with procedures for review and appeal of cases involving acts of alleged dishonesty, so that the student may be informed of available recourses.

Guidelines in Cases Involving Suspected Dishonesty. If a question of academic dishonesty arises, the procedure and policy guidelines outlined below apply.

Questions of academic dishonesty are most properly issues to be dealt with initially by the instructor, department, and school wherein the problem occurred. In addition, the Dean for Student Life is involved in two ways:

(1) Receives reports on dishonesty and accompanying faculty actions related to the incident.

(2) Advises and consults with both student and instructor.

The instructor is advised as follows:

- If dishonesty is proved, the instructor may take an academic action—assign an **F** to the test or paper or, in case of gross dishonesty, an **F** for the course. In most cases, this may be the only action necessary.

- The instructor must inform the student of the right to appeal to the department chairperson. A brief written report on each action taken must be sent to the Dean for Student Life, who will establish a disciplinary file on the student. If further academic dishonesty occurs, the Dean may take the case to the University Judicial Council for appropriate action, up to and including suspension.

- The department chairperson may hear the appeal or refer it to an *ad hoc* faculty committee for hearing. Both the student and the Dean for Student Life must be informed in writing of the outcome.

- If the chairperson or the committee upholds the original decision, the student may appeal the case to the dean of the school or college. Either an individual or an *ad hoc* committee procedure may be instituted at this point.

- If the college or school substantiates all other reviews, the student must be informed of the option for final review by the Student Behavior Appeals Panel. A student may be suspended from the professional school or the college for not meeting the ethical standards of the professional school, but action to suspend the student from the University may be taken only by the Dean for Student Life, usually acting in concert with the student judiciary.

- As the highest independent tribunal on student behavior, the Student Behavior Appeals Panel is a campus supreme court, serving the President and the Vice-President for Student Affairs, as well as the relevant constituencies that may bring matters to the Panel.

Procedure After Examination. The following practices are to be observed upon completion of the examination:

Handling Examination Papers—Completed examination papers should be handled with as much care as the question papers are handled before the examination.

Machine-scored answer sheets and keys should be carried to the Testing Bureau by the instructor rather than by the student assistants.

Grading Examinations—All final essay-type examinations should be read by the instructor or by a qualified reader acting under supervision. The instructor should check, by adequate sampling, the fairness and accuracy of a reader's work. Keys to a machine-scored examination should be prepared personally by the instructor.

3.7 Grading Procedures and Evaluation

In the submission of final grades to the Registrar's Office, the procedures below are prescribed.

a. Assignment of Grades

Each instructor is responsible for the maintenance of high standards. The instructor's evaluation of the performance of each individual student is the final basis for assigning grades.

Rigid application of arbitrary percentages in the distribution of grades is not desirable; the size and quality of the class group must be taken into consideration.

Failing grades in lower-division work have the effect of screening out the poorer students. As a result, it is expected that a higher quality of work will be done in upper-division courses.

b. Final Grade Sheets

Shortly before final examinations, the Registrar's Office will send final grade sheets to departments for reporting of final grades. Complete instructions for their proper preparation are included with the grade sheets. Particular attention is called to the time limit for submission of completed grade sheets to the Registrar **within 72 hours of the final examination.**

This time limit is critical to the computer's processing of student report cards, clearance for graduation, and preparation of transcripts and diplomas. Late submission of grade sheets by faculty results in costly hand-recording and in delays in student certification. Each dean and department chairperson is responsible for expediting the prompt reporting of grades.

3.8 Counseling

A variety of counseling services covering many aspects of student life is available on the campus.

- **Career Planning and Placement**—This office is open throughout the year from 8:30 a.m. to 5 p.m., Monday through Friday, including lunch time. Counseling is available to students in relating their interests and capabilities to academic and career planning. Specific information is available concerning career-related summer and part-time positions as well as full-time career positions. The office is located in Bruce Hall, 663 W. 34th St., sta. 2176.

- **Health Counseling**—Discussion and help regarding any student's health problems or concerns are available from the staff of the Student Health Center. It is the philosophy of the staff to take a positive approach to health maintenance and to assist the student in coping with problems of living by establishing preventive as well as curative programs.

- **International Students and Scholars**—The Office for International Students and Scholars evaluates foreign credentials and admits international applicants. Once international students and scholars arrive on campus, OISS provides educational, vocational, and personal counseling for all interested students, both on and off campus. OISS also is available for visa information. The office is located in SU 300, sta. 2666.

- **Marriage Counseling**—Marriage and premarital counseling are available without cost to faculty, staff, and students at the Marriage Counseling Center, 703 W. 34th St., sta. 2137.

- **Pastoral Counseling**—The University Chaplain is available to students, faculty, and staff for counseling. The major faiths and denominations all maintain campus ministry programs, facilities, and staff at the University. All campus ministers are available for personal problem and pastoral counseling. Further information may be obtained from the Chaplain's office, University Religious Center, Room 102, sta. 6110.

- **University Counseling Center**—The center serves as a resource and referral agency for all counseling and advisement services provided by the University. Individual and group counseling is provided by psychologists, psychiatrists, and volunteer counselors. In addition, psychological and vocational testing is available to students and faculty. The center is located in the Student YWCA, sta. 7979.

- **Psychological Research and Service Center**—For a nominal fee, the center provides a variety of psychological services, including individual, group, family, and marital therapy, psychological and vocational testing, and guidance. The center is located at 734 W. Adams Blvd., sta. 2287.

3.9 Degree Requirements

The Registrar's Office is the central agency in the University that provides the official Summary of Credits relative to the satisfactory completion of degree requirements. Each student is held responsible for checking degree requirements with the Office of the Registrar. Advice on degree requirements is available as listed below.

Upper-division and Graduate Students. Appropriate deans and departmental faculties advise these students.

Lower-division Students. Advice on degree requirements may be obtained from the following offices:

Architecture Advisement Office—Architecture majors
Assistant Dean, School of Business—Business majors
Departmental Offices, School of Engineering—Engineering majors
Dean's Office, School of Music—All A.B. and B.M. Music majors
Letters, Arts, and Sciences Advisement Office—New students and other students who have not yet selected a major subject; honors students; pre-professional students who have not declared a departmental major; pre-dental, pre-education, pre-engineering, pre-law, pre-medicine, pre-pharmacy, and pre-public administration.

Non-matriculated Evening Students. Students in this category who have not been referred to academic departments, are advised by the Assistant Dean, College of Continuing Education, or the Director, Civic Center Division.

3.10 Student Employment

Employment opportunities in both academic and staff categories are available as described below.

a. Teaching and Laboratory Assistants

Stipends for the academic year are uniform for assistants working half-time in the following categories:

A first-year Teaching Assistant receives a $3,000 stipend.
A $3,200 stipend is paid a Teaching Assistant who has successfully completed at least 24 units of graduate work at USC or has a Master's degree from another institution; or has had at least one academic year of half-time teaching experience.
A $3,400 stipend is paid a Teaching Assistant who has completed at least 48 units of graduate work at USC, or 24 units of graduate work at USC beyond the Master's degree from another institution, or has had at least two academic years of half-time teaching experience.

Other fractional-time Teaching Assistants will be paid proportionately at the same rates. These assistants normally work a minimum of one-fourth time. Appointments for less than one-fourth time must be approved by the deans of the respective schools and by the Dean of the Graduate School.

Teaching Assistants will receive tuition assistance during the semester in which they hold such assistantships. Half-time Teaching Assistants are entitled to up to 12 units per semester during the semester in which they are assistants. Other fractional-time Teaching Assistants will be granted assistance up to eight units subject to approval of their programs by their academic advisers. Graduate students who have held Teaching Assistantships during the academic year, but who do not assist during the summer, will be granted tuition assistance during the Summer Sessions subject to the following conditions:

(1) Those who have held half-time Teaching Assistantships both semesters will receive summer tuition assistance up to 13 units (including 590, 594, 690, and 790 registrations).

(2) Those who have assisted for one semester, or for less than half-time during the year, will receive summer tuition assistance up to eight units.

These conditions apply only to Teaching and Laboratory Assistants who have classroom or laboratory teaching assignments, involving student contact, in specific courses. Students who assist departments or schools in other capacities should be assigned titles other than Teaching Assistant or Laboratory Assistant.

b. Readers

Graduate students and seniors may be recommended to the appropriate dean to read for classes with enrollments of 30 or more. Requests for Readers must be submitted to the appropriate deans and directors for the approval of the appropriate Vice-President, within one week after the beginning of classes.

c. Staff Assistants

Part-time student employment on campus is channeled through the Financial Aid office. Positions available in all departments should be posted on the job board. For further information, call the Financial Aid office, Student Administrative Services, sta. 6780.

3.11 Career Employment

The Career Planning and Placement Center is host to recruiting personnel from several hundred companies and agencies each semester, representing business, industry and government. These companies seek Business and Engineering students, for the most part, but a number also are interested in

Liberal Arts graduates. It is the center's recommendation that those students interested in participating in campus recruiting check with the office *a year in advance*.

In addition, the center receives notices of several thousand career positions annually, in which the employer asks interested applicants to inquire directly. These positions are listed as received throughout the year.

Other helpful services provided by the center include:

Resume and interview techniques
Brochures and annual reports
Civil service and testing information
Occupational information

Many of the professional schools have their own systems for handling career employment. The center staff invites students to come into the office to discuss career opportunities in their fields.

The center is located in Bruce Hall, 663 W. 34th St., sta. 2176.

Section 4.0
Services and Facilities

4.1 Library Services

The full list of library facilities and departments is given in the *Campus Directory*. Library services available to full-time faculty are described below.

a. Borrowing Period

Regularly circulating books are loaned to faculty for the remainder of the semester in which they are borrowed, subject to recall for another borrower. Any material not returned or renewed at semester's end, in response to mailed reminders, is considered lost and charges are posted with the University Business Office.

b. Reserve Books

Books will be placed on reserve status at faculty request for varying borrowing periods. Reserve request forms are sent to the department offices of all University disciplines at the close of each semester. They are self-explanatory and should be completed and returned to the appropriate branch or departmental library. For disciplines not served by a branch library, College Library and Graduate Student Departments in Doheny Library maintain reserve services for undergraduate and graduate courses, respectively. Reserve requests should be submitted at least two weeks prior to the beginning of each semester.

c. Inter-library Loans

Books and journals not in the USC Library and not available for purchase may often be obtained through inter-library loan. This service is available to the faculty through the Reference Department, Doheny Library, at no charge. Dissertations available through University Microfilms, Ann Arbor, Mich., cannot be borrowed on inter-library loan but may be purchased on film. Order forms are provided at the Reference Desk.

Because most institutions will not lend recent journals or any journal where the desired article is short (usually less than 20 pages), the Reference

Department will order photocopies of such material. Orders of up to $2.00 are free to faculty. Charges of more than $2.00 may be paid for personally or by Departmental Order.

d. Library Cooperative Arrangement

USC has a cooperative library agreement with UCLA and the California Institute of Technology for the sharing of library materials. Faculty at USC may obtain library privileges at both UCLA and Cal Tech and use their libraries. In addition, an inter-library vehicle makes daily stops at each library, carrying both passengers and library materials between the three facilities. Faculty wishing to use this service may call the Circulation Department in Doheny Library, sta. 2924.

4.2 Affiliated Organizations

a. Faculty Center Association

The Faculty Center Association manages all activities of the Faculty Center. Its Board of 15 directors, elected by the membership each year, appoints the following officers and committee chairpersons to serve for a period of one year:

Officers

President
Vice-President
Secretary
Treasurer
Historian
Librarian

Chairpersons

Building Committee
Finance Committee
House Committee
Membership Committee
Program Committee
Social Committee

The Faculty Center was built with funds donated by the Board of Trustees and furnished with funds donated by the faculty and administration.

Services. The Faculty Center serves lunch and dinner during the regular academic year and lunch only during holiday and vacation periods. Bar service is available at lunch and dinner and for special events. Lunch is served from 11:30 a.m. to 2 p.m. on weekdays, and dinner, during the regular academic year, from 5 p.m. to 6:45 p.m., Monday through Thursday. Individual or small-party reservations are no longer taken. For groups of eight or more, however, reservations are taken for side rooms at the Faculty Center.

Use of the Faculty Center is restricted to members and their guests. Membership cards are issued each year to those who apply and are found eligible. Dues may be paid collectively at the beginning of each academic year, or deducted from salary checks in equal monthly installments. Charges at the Faculty Center are signed for (no cash sales) and deducted from salary checks, or billed to those not on University payroll.

In addition to food service, the Faculty Center provides the meeting place for the Faculty Senate; recreational, lounge and library facilities for its members; the center for the Faculty Wives and other faculty-oriented groups; and meetings of the Association which present speakers of broad, general interest to all members on Wednesday noons.

Among furnishings and equipment available are card, pool, billiard, and Ping-Pong tables, reclining chairs, and television. A small reading library is maintained. The Center serves a buffet dinner before every home football game.

Membership and Dues. Categories of membership and dues are as follows:

Category	*Annual Dues*
Sponsoring Members	No dues
Active Members	
Full-time and Part-time Faculty and Administration whose annual salary range is between:	
$12,000 and above	$72
9,000 and 11,999	60
4,000 and 8,999	42
under 4,000	30
Associate Members	
Faculty Center Associates	$30
Retired Faculty and Administration	No dues
Spouse (not working for the University) of deceased member	No dues
Life Members	$500

b. Faculty Wives Club

The Faculty Wives Club was organized in 1912 to promote sociability and friendship among wives of the faculty members. Its purposes include a better acquaintance with the ideals, aims, and physical aspects of the University, closer relations with the student body, and assistance to women students.

Membership. Membership is open to the women whose husbands are on the teaching and administrative staffs. The wife of the President of the University is the honorary president.

Activities. The Faculty Wives Club meets on the second Wednesday of each month, October through May. It joins with the Faculty Center Association in other social affairs.

A number of special activity groups have been formed, including book, bridge, and sewing groups and the USC-County Hospital Volunteer Group. Art tours and other special-interest activities are conducted.

Scholarships and Gifts. The Faculty Wives Club is particularly interested in promoting the welfare of women students and maintains a one-semester scholarship each year for a worthy woman student.

It has also provided the Emma Josephine Bradley Bovard Award as a memorial to the wife of the former President of the University and as an honor each year to the senior woman having achieved the highest grade point average during her four years of undergraduate work.

4.3 University Publications

Among publications of the University are those listed below.

Bylaws of the University are now available in the Business Office.

Catalogs and Bulletins of the various departments and schools within the University are published annually and biennially and are distributed by the Information Office at the corner of Figueroa and Exposition Boulevards, as well as by mail through the Bulletin Mailing Office. The bulletin of any given school is the official statement of its policies, degrees, requirements, and offerings. The inside front cover of any bulletin contains a listing of current University bulletins.

Schedule of Classes is the official announcement of courses to be offered each session. Schedules are available through the Information Office, by mail through the Bulletin Mailing Office, and during registration in the registration area and at the Information Center, Figueroa and Exposition.

The *Campus Directory* is available for office use only. It lists campus and home telephone numbers and addresses of all full-time University personnel, and should be guarded with utmost care to prevent unauthorized solicitation of University employees. The *Directory*, distributed by the Office of Special Services, is available during the Spring semester.

The *Calendar of Events* is published in *Trojan Family* each month, October through May, and bimonthly, June through September. The *Calendar* lists the date, time, place, and kind of all important cultural activities scheduled on the campus. It is available at the Information Office and the Library. Further information may be obtained by calling sta. 2684.

The *Calendar of Events for the School of Performing Arts*, now combining the previous *Calendar of Musical Events*, is published monthly. It announces drama, cinema, and musical events. Further information may be obtained by calling sta. 2234.

(Weekly listings of events, with supplemental announcements in daily issues, are published in the Calendar of the *Daily Trojan* in its weekly Campus supplement, usually published on Tuesdays.)

The *Science and Engineering Calendar* is published weekly during the Fall and Spring semesters. It contains information about future events of interest in science and engineering. For further information call sta. 2780.

The *Faculty Newsletter* is published monthly except during summer, by the Executive Board of the Faculty Senate and sent to each faculty member.

The *Faculty Handbook* is the official document designed to provide information on governance, services, policies, and responsibilities concerning faculty members.

The *University Manual for Administration of Sponsored Research and Educational Activities* contains policy and procedures on the administration of such projects (sta. 2591).

The *University Travel Manual* contains detailed policy and procedures for reimbursement regarding travel expenses.

The *Supervisor's Manual* states the established personnel policies and procedures of the University (sta. 2151).

Trojan Family is published monthly, October through May, and bimonthly, June through September. *Trojan Family* is circulated to all members of the General Alumni Association, support groups, and other friends of USC. It contains information about University events and activities, as well as about members of the University community and alumni organizations.

School of Medicine Publications

The *Calendar of Medical Events* is published monthly.

Faculty-Student Notes is issued during the academic year.

USC Medicine is a semi-annual magazine highlighting various projects and faculty of the School of Medicine.

Procedure Manual contains important procedures and policies for the faculty and staff of the School of Medicine. This is an important supplement to the *Faculty Handbook*.

Student Publications

The *Daily Trojan*, a daily publication, is the student newspaper distributed free throughout the campus. Mail subscriptions are available at $15 per year or $9 per semester. Inquiries may be directed to the Office of Student Publications, SU 400, sta. 2707.

SCampus, the official student handbook, is published annually and is available at the Information Center at no charge to members of the academic community. It contains much information of interest and concern to every faculty member, as well as students, particularly new students. It contains information about the Student Affairs Division and the services available to students through the Division, the bookstore, libraries, and facilities. It also contains comprehensive statements of University policy affecting students, such as the Statement of Student Rights and Responsibilities, Speakers Policy, Student Conduct, and Hazing.

El Rodeo, student yearbook, documents University activities. Employees who purchase season tickets to University events may obtain the yearbook at reduced rates. Inquiries may be directed to the Office of Student Publications, SU 400, sta. 2707.

4.4 Information, Graphic, and Publication Services

a. News Bureau

The USC News Bureau will distribute news articles and releases to appropriate general-circulation media as well as University outlets on campus on activities and endeavors of the University community. Persons having items considered newsworthy may visit the offices at Adm. 103 or call sta. 2215.

b. Athletic News Service

This service provides information on all Trojan athletic activities for press, radio, and television. It publishes news releases and brochures and provides photographs, video tape, film clips and other print and graphic items to the media and other interested users. The office is located in Heritage Hall, sta. 2224.

c. University Editor

The University Editor is responsible for a variety of editorial and production services, including the Office of University Publications, which edits and proofreads copy for material to be printed in official publications; and the Office of Student Publications, which is responsible for advertising and production of student media but not for editorial content. In addition to all bulletins, special concerns of the University Editor include the following:

> **Thesis Editing**—All theses and dissertations must be approved by the Thesis Editor in the Office of University Publications. A mimeographed pamphlet, Regulations for Format of Theses and Dissertations, may be purchased in the University Bookstore for a nominal fee. (Sta. 2200)
>
> **Commencement Program**—Lists of candidates for degrees, students graduating with honors, and initiates of honor societies are compiled for the Commencement Program by the Office of the Registrar. Such lists, including Summer, January, and June graduates, should be verified by department heads with the Registrar no later than April 15 of each year for June Commencement.

Scholarship Convocation Program—This program is compiled by the Office of the Registrar in the same manner as the Commencement Program.

University of Southern California Press—All manuscripts submitted for publication under the imprint of the University of Southern California Press must be approved by the Editorial Policy Committee. This committee is custodian of the University imprimatur and establishes and implements policy concerning manuscripts and other written or visual documents offered to the University for consideration for publication. The committee guides the University Editor in evaluation of submitted work. (Sta. 2707)

d. Official Bulletin

The *Daily Trojan* carries a regular service, the Official Bulletin, containing official notices and announcements of activities and requirements. The Official Bulletin appears weekly in the Campus Supplement of the *Daily Trojan;* some Bulletin items also appear in other issues during the week. Examples of items are announcements of official University bodies, including agenda where feasible; registration and examination information; official University calendar; major statements of policy; graduation activities; course listings. Blank forms for submission of items are available in the Office of Student Publications, SU 400, or the University News Bureau, Adm. 103. The forms contain information on deadlines and other requirements.

e. Graphic Services Department

Combining the former Mimeograph Department and the University Press, the Graphic Services Department provides a full range of printing and publications services, ranging from copying to publications design and composition. Both hot- and cold-type composition and letterpress and offset printing are available. Among items printed by Graphic Services are letterheads, envelopes, brochures, pamphlets, office forms, catalogs, certificates, tickets and invitations, and business cards. Comb binding and Velobind service also is available. Photocomposition equipment offering a wide selection of type faces and sizes and complete cold-type paste-up facilities is available. The department is located at 3717 S. Grand Ave., sta. 2701 and 2702.

f. Instructional Media Services

This department provides services, equipment, and supplies to faculty, staff, students, and affiliated groups, payable by department order, requisition, cash, or invoice in some instances. Its capabilities and services include:

Professional assistance in preparing audio-visual materials, including slides and overhead transparencies
Preparation of graphic/photographic materials
Production of single-concept films, slide tape shows, etc.
Recording services and tape duplication
16mm, 8mm and super-8mm projectors
Film-strip and 2 x 2 and 3¼ x 4 slide projectors
Overhead and opaque projectors
Portable tape recorders and record players
Sound systems
Projection stands and screens
Video tape recording systems
Camera rentals
Audio tape and animation and film supplies

A Xerox Center provides presentation quality reproduction including enlargements, reductions, thesis work, collating, binding and high-speed duplication. The Center is located at 680 W. 34th St., sta. 2214.

The Film Distribution section of the Division of Cinema provides films (from the University's 5,000-title Film Library as well as from off-campus sources) for classroom use. Film Distribution is located on campus at 3535 S. Figueroa, sta. 2238.

The department is located at 702 W. 34th St., sta. 2668 and 2669.

4.5 Computer Services

University Information Processing (UIP) is responsible for all academic computing and administrative data processing at USC. The principal computer system, an IBM System/370 Model 158, is located in the University Computing Center (UCC), 1020 W. Jefferson Blvd. Primary academic user facilities are located in Stonier Hall and are supported by a remote batch terminal system. Other remote batch stations are located in the Schools of Business Administration, Engineering, and Medicine. Many time-sharing terminals are distributed around the campus.

Stonier Hall has keypunches, tabulating equipment, storage facilities, and user workspace. A consulting service is available to all users. The system supports a large variety of software packages for such diverse applications as simulation, statistical analysis, modeling, data-base management, and numerical analysis.

Along with academic computing services, UIP also supports administrative data processing. Primary activities include system responsibilities for student, alumni, and business records. Data maintained in computerized files are also used in management applications.

The School of Engineering has an IBM System/360 Model 44, with a graphics display console, an analog computer for hybrid computing, a data acquisition capability, and facilities for real-time computing. The Model 44 is connected to the ARPA network, and is a major mode on the network for image processing.

A Hewlett-Packard 2000 in the School of Business provides time-sharing services to students, faculty, and staff of that school.

Requests for services may be directed to the Director, Academic and Administrative Services, sta. 2951.

4.6 General Services

a. Pharmacy

The University Pharmacy, located in the lower level of the Student Union, is maintained by the School of Pharmacy for the convenience of all employees. The pharmacist in attendance fills prescriptions and has a stock of drugs at a reduced cost to employees. Cosmetics and a small supply of sundries are also available. Most drugstore items, if not in stock in the dispensary, may be ordered. The Pharmacy is open from 9 a.m. to 6 p.m. Monday through Thursday and 9 a.m. to 5 p.m. Friday. The Pharmacy station number is 2738.

b. Dental Service

Employees of the University and members of their families may apply for dental care as patients in the Dental Clinic, 34th and Hoover Streets. All dental treatment is under the supervision of professional dentists. Patients are carefully selected in accordance with the requirements of dental teaching. All patients are required to register and are given a complete oral diagnosis, including X-ray examinations. Each patient is assigned to a dental student, who assumes the responsibility of completing the required treatment. The student is supervised by instructors in the various departments of dentistry. In general, it is necessary for patients to set aside two to three hours for a full appointment. A small fee is charged for each type of treatment before service is begun.

c. Discounts

University employees are eligible for membership in certain discount associations such as FEDCO. In addition, discount cards are available for Disneyland, Knott's Berry Farm, Marineland, Magic Mountain, Busch Gardens, Queen Mary, Japanese Deer Park, Movieland Wax Museum, and other permanent and special attractions. Further information is available at the Office of Employment, sta. 2151.

d. Lost and Found

The Information Center serves as the University Lost and Found Department. Articles unclaimed at the end of 30 days may be claimed by the finder. Non-valuable items are retained 30 days before being disposed of. Valuables are kept 90 days before being turned over to the University YWCA for sale.

e. Keys

Keys to rooms and buildings are obtained from the University Locksmith. A department order, signed by the department chairperson approving the issuance of the key to the staff member, and a deposit of $1.00 must be presented in person at the Locksmith's Shop, 941-A W. 35th St., between 8 a.m. and 12 noon and between 12:30 p.m. and 4:30 p.m., Monday through Friday.

f. Parking

Parking permits are issued to faculty and staff through the Parking Operations Office. Parking fees may be paid in cash or through payroll deduction. At the School of Medicine, parking permits may be obtained at the Cashier's Office. Appendix 2B contains complete parking and vehicular information.

g. Medical Facilities

The Student Health Center provides emergency care only to University employees between 8 a.m. and 10 p.m., Monday through Friday. After 10 p.m. and on weekends campus security should be notified of any emergencies. Immunizations for travel may also be obtained for a nominal fee. It is best to call in advance for this service, sta. 5344.

h. University Recreation Association

The recreation program at the University is under the direction of the University Recreation Association (URA), located in Room 103, Heritage Hall, sta. 2790. The Association welcomes and encourages all campus employees to participate in the programs and activities which they sponsor. These programs contribute to health and fitness and also provide an excellent opportunity for social involvement with other USC employees. The program is for all students, faculty, and staff, and all are urged to join.

i. University Events

Admission to events sponsored by the University is provided for full-time University employees with the Faculty Season Ticket. It is good for a reserved seat at all regular season home football games, for admission to the Trojan section of basketball games (for a nominal charge), baseball games, track meets, other sports events, and plays produced by the Department of Drama. The closing date for football seating priorities is July 1. Application forms for two tickets may be obtained by applying to the department chairperson during the month of May.

j. Notary Public

The University provides notary service to all faculty, staff, and students at no charge. Notaries are located in the Information Center and in the Business Office.

k. Barber Shop

The campus Barber Shop is located in the lower level of the Student Union. Experienced barbers are on duty from 8 a.m. to 5 p.m., Monday through Friday. Service is available to faculty, staff, and students.

l. Telephone Service and Calls

The University switchboard is open from 8 a.m. to 8 p.m. on weekdays. Other than these hours, calls may be made to Physical Plant and Campus Security, 746-2351 and 746-6000, respectively.

The School of Medicine switchboard is open from 8 a.m. to 6:45 p.m. on weekdays. Other than these hours, calls may be made to Physical Plant and Campus Security, 225-1511, sta. 258.

Office telephones are for University business only. Personal calls may be made through public telephones on campus. All long distance calls must be placed through the University Operator (Dial "0").

Wide Area Telecommunications Service (WATS) is routinely utilized by University operators in long distance calls. When a call can be placed on a WATS line, the operator will initiate a WATS call. If after a 10- or 15-minute wait a WATS line is not accessible, the operator will place the call through regular service.

m. Handicapped Students

Special campus facilities are being provided for the handicapped. A booklet containing a map and helpful information is available through the Coordinator for Handicapped Student Services, Student Health Center, sta. 5344.

Emergency Calls

The Campus Security business hours are 8:30 a.m. to 5:30 p.m.; there is, however, an officer on duty 24 hours for emergencies, sta. 6000 or 6001.

- City Police and Fire Departments:
  - Police, 625-3311
  - Fire, 384-3131
  - Ambulance, 483-6721
- Emergency Repairs:
  - Extension 2100
- Student Health Center:
  - Extension 5344 or 746-5344
- California Hospital:
  - 748-2411 in case of illness
- Orthopedic Hospital:
  - 747-4481 in case of accident
- Medical School: Security
  - 225-8645

APPENDIX

Appendix 1A
Constitution of the Faculty Senate University of Southern California*

Introduction

The Faculty Senate exists to contribute to the intellectual vitality of the University of Southern California. It is organized specifically to determine positions on issues directly related to faculty status, responsibilities, and welfare within the University. It is the first place where such issues will be investigated and solutions or policies will be proposed to other decision-making agencies of the University.

It is, therefore, the forum for faculty decision-making, and the voice of the collective faculty. To achieve these goals, the Senate especially concerns itself with the processes by which major University decisions about personnel and academic policy are made, with a view to obtaining and disseminating information about such decision-making. Faculty members who accept their election to the Senate do thereby declare their individual commitment to work through it for the realization of these goals.

The Faculty Senate is, therefore, a fact-finding, deliberative, and consultative body, with authority to make studies, reports, and recommendations on all matters which have a significant bearing upon the work of the faculty. The Senate, through its Executive Committee, may present any of its findings or recommendations to the students and faculty at large, to the University Council, to appropriate administrative officers of the University, to the Board of Trustees, or to the general public.

Article I: Membership

Section 1. The Faculty Senate shall consist of elected and non-elected members, all with vote.

The elected members shall be regular full-time members of the University Faculty of the rank of Instructor or higher, to be apportioned among the Schools and the College of the University so that there shall be one (1) senator for every eight (8) regular faculty members, or major fraction thereof, of each School and of the College. In the College and in Schools with several departments or divisions, each department or division is entitled to one (1) senator before any department or division is entitled to two (2) or more. The decision as to representation by department or division for those Schools or the College with both shall be made by the individual School or the College. A small department or division (four or fewer) may choose not to be represented for not more than two consecutive terms.

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*Approved by Faculty Senate, September 19, 1973.

Non-elected members of the Faculty Senate shall be the faculty members on the University Council, the Registrar, the Dean for Student Life, the University Librarian, the University Chaplain, the President of the Faculty Center Association, the Editor of the *Faculty Newsletter*, the immediate past President of the Senate, the Chairman of each standing University Committee, and the President of the local chapter of AAUP or of other state or national faculty organizations with a similarly broad base in the teaching profession.

Section 2. Elected members of the Senate shall serve for a term of two years and may stand for reelection for a second term, but no elected member shall remain in the Senate for a continuous period exceeding four years.

Section 3. The Senate shall have power to make a reapportionment of the elected membership and to change nomination quotas.

Section 4. The general duties of the elected member in the Senate shall be to study the documents circulated to the Senate membership, and to be present for their discussion; to inform the segment of the Faculty from which he or she was elected as to the content of Senate discussions; and to solicit the opinions of that segment of the Faculty upon matters before the Senate. Any elected member may from time to time be requested by the Executive Committee of the Senate formally to poll his or her segment of the Faculty for their views on University affairs.

Article II: Election of Members

Section 1. Faculty members of the Senate shall be elected by the Schools and the College of the University at such time and in such manner as may be authorized by the Senate, subject to provisions of this Constitution. The Senate shall advise and instruct each School and the College as to the time and details of the elections.

Section 2. Each School or College shall elect its own senators. Each regular full-time faculty member of the rank of instructor or higher may vote for the candidates to be elected from the School or the College with which he/she is affiliated. No faculty member may cast more than one vote for a single candidate nor may vote for fewer than the number of candidates to be elected. Incomplete ballots shall be invalid. Candidates having the largest number of votes in such an election shall be the Senators of the Schools or the College. A tie vote shall be decided by lot among the candidates tied.

Section 3. Nominations to candidacy within a School and the College shall be made by each department thereof. Each department shall nominate from among its own members one (1) candidate for each four (4) regular full-time faculty members, or major fraction thereof, of rank of Instructor or higher within that department. Each department shall be entitled to nominate from among its own members at least one (1) candidate, provided such candidate is eligible to membership within the terms of this Constitution. If a School is not departmentalized, nominations may be made in such manner as the School may determine.

Section 4. The newly elected members of the Senate shall take office during the month of September of each year, at a regular or special meeting of the Faculty Senate.

Section 5. Vacancies which may occur in the Senate shall be filled for the unexpired term from the School or the College in whose ranks the vacancy exists in accordance with the Senate Bylaws.

Section 6. If an election procedure is called into question, the Senate Committee on Rules, Membership and Elections shall investigate and report its findings to the Senate for appropriate action.

Article III: Organization and Procedure

Section 1. Officers of the Faculty Senate shall consist of a President, a Vice-President, and a Secretary, to be elected by the newly constituted Senate each spring, to serve for one year effective July 1. Officers shall be elected members of the Senate, and shall be installed at the September meeting. The election shall be in accordance with the Senate Bylaws. In the event that any duly elected officer of the Senate shall resign or become unable or ineligible to serve, the Executive Committee, as hereinafter constituted, shall elect a successor from the eligible members of the Senate to serve the unexpired portion of the term of such office.

Section 2. There shall be an Executive Committee, and such other standing and special committees as the Senate shall determine.

Section 3. The Executive Committee shall consist of the President, the Vice-President, the Secretary, four additional members elected by and from the Senate, the immediate past President of the Senate, and the Chairman of the *Faculty Newsletter* Editorial Board. For this purpose, if the immediate past President is no longer a member of the Senate, he/she shall continue Senate membership as past President. This membership shall not influence the representation from that School or the College.

Section 4. Standing committees shall be appointed annually by the Executive Committee of the incoming Senate. These committees shall be named at the end of September of each year. The membership of these committees or of their subcommittees shall not necessarily be restricted to the Senate, but shall be composed of at least 60 percent of elected Senate members. A list of these committees and their members shall be included in the Senate Roster.

Section 5. Standing committees shall make semiannual reports of their activities to the Senate. Such reports shall be made available to the University faculty. Special reports may be made to the Senate at the initiative of a committee or at the request of the Executive Committee.

Section 6. The Senate shall hold nine (9) meetings on a fixed monthly schedule, September through May. Special meetings of the Senate may be called at the discretion of the Executive Committee or by petition of one-third of the members of the Senate.

Section 7. The Executive Committee shall keep the members of the University faculty informed of the current activities of the Faculty Senate.

Article IV: *Faculty Newsletter*

The *Faculty Newsletter* shall be the chief means of communication from the Senate to the Faculty in general; its pages also are open to contributions from all faculty members of the University of Southern California. The *Newsletter* shall provide a forum for individual faculty viewpoints, a means for polling faculty opinion, and a chronicle of University events of special interest to the Faculty in general.

Article V: *Faculty Handbook*

The Senate expects that the University Administration will prepare and make readily available to each faculty member copies of the *Faculty Handbook*, prepared under the editorship of a person appointed by the Administration. Faculty suggestions for revision and updating will be directed to the Senate Committee on Faculty Rights and Responsibilities. Suggested revisions of the *Handbook*, whether from the FRR Committee or the Administration, will be subject to Senate discussion and recommendation.

Article VI: Amendments

Section 1. Amendments to the Constitution of the Faculty Senate may be proposed by the Senate, and the proposed amendments shall be mailed to each member of the University Faculty at least 30 days before action thereon.

Section 2. Amendments to the Constitution of the Faculty Senate must be approved by secret ballot by a two-thirds vote of the members of the Faculty voting thereon, by mail referendum. If the total vote on the proposal is less than one-third of those eligible to vote thereon, the proposal, before becoming effective, must be reapproved by two-thirds of the members of the Faculty Senate present at the next regular meeting held more than 60 days after the original submission.

Article VII: Bylaws

Section 1. The Senate shall adopt such Bylaws as it considers necessary to the conduct of its business.

Section 2. The Bylaws may be adopted or amended by majority vote of the Senate at any regular meeting, provided that the proposed Bylaws or amendments have been submitted in writing to the Senate at a prior meeting.

Faculty Senate Bylaws

Rule 1: Parliamentary Procedure. The Bylaws contained in *Robert's Rules of Order, Newly Revised,* shall govern the Senate in all cases to which they are applicable and in which they are not inconsistent with the Constitution and Bylaws of the Senate.

Rule 2: Quorum. Except as otherwise provided for in the Constitution, one-third of the elected membership of the Senate constitutes a quorum. Only members present are eligible to vote at any Senate meeting. In the absence of a quorum no action shall be taken, except adjournment to a specified future time.

Rule 3: Motions from the Floor. Motions from the floor, other than formal motions such as approval, disapproval, reference of pending matters, or adjournment, shall be submitted in writing to the Secretary at or before the time they are orally proposed to the Senate.

Rule 4: Visitors. Any member of the University Faculty eligible to vote in elections for Senate members may attend as a visitor any meeting of the Senate. Any other person desiring to attend a Senate meeting as a visitor must first obtain permission from the Executive Committee.

Rule 5: University Library. For purposes of the Faculty Senate, the University Library shall have the status equivalent to that of a School. For purposes of Senate membership and voting, full-time, regular librarians with the rank of Librarian II or higher shall have status equivalent to that of full-time, regular faculty.

Rule 6: Executive Committee (Authority). The Executive Committee is the channel of communication between the Senate and the Administration of the University. The members of the Executive Committee are, of course, free to express their personal opinions on any matter on which they are consulted; but, in representing the Senate, the Executive Committee can make only those recommendations on behalf of the Senate which the Senate has expressly authorized.

Rule 7: Executive Committee (Action). The Executive Committee meets one or more times each month with the President of the University and such other staff as he/she desires. The Executive Committee may, on its own initiative, or at the request of the Senate, refer any matter to a committee of the Senate or to a University Committee, and require a report thereon which shall be transmitted to the Senate. The Senate may submit to the Administration of the University, through the Executive Committee, recommendations concerning the subject matter of any report of a University or Senate Committee. The Executive Committee shall prepare the Senate budget.

Rule 8: Faculty Senate Representatives to University Council. Faculty Senate representatives to the University Council shall include the Vice-President and the Secretary of the Faculty Senate and three members who are elected faculty senators. The slate shall be confirmed by the elected faculty senators.

Rule 9: Nominating Committee for Executive Committee and Council Representatives. A Nominating Committee consisting of the President and two other members of the current Executive Committee selected by the Executive Committee, together with four (4) senators nominated from the floor and elected by the membership of the Senate, shall be elected at the April meeting each year to propose a slate of officers and member of the Executive Committee for the next year as well as select the five (5) representatives to the President's Advisory Council. In order to provide reasonable continuity, the nominations should include not less than two (2) and not more than four (4) of the seven (7) elected members of the current Executive Committee. The report of the Nominating Committee shall be included in the circulated materials for the agenda of the May meeting. Nominations from the floor may be made at the May meeting by both current and newly elected senators when prior agreement has been obtained that the nominee will serve if elected. No further nominations will be entertained after this meeting. Election of contested offices will take place by secret mail ballot.

Rule 10: Standing and Special Committees.

(a) In addition to the Executive Committee, there shall be standing committees of the Senate as follows:

Committee on Academic Policy and Procedures
Committee on University Administration
Committee on Faculty Employment and Remuneration
Committee on Faculty Rights and Responsibilities
Committee on Faculty Environment
Committee on Rules, Membership, and Elections

There may also be such additional standing or special committees as may be established by the Senate, or, in the case of special committees, by the Executive Committee. The size, duties, and authority of each such committee, and the membership of each such standing committee, shall be prescribed by the Executive Committee. Unless otherwise directed by the Executive Committee, membership of special committees shall be designated by the President of the Senate, subject to approval of the Executive Committee.

(b) The *Committee on Academic Policy and Procedures* shall monitor and review, on its own initiative, or at the initiative of the Senate or Executive Committee, any University policy which materially affects the primary work of the faculty, with special regard to what the policy is, how or where it was originated, and the manner of its implementation. In-depth studies of particular areas of University process shall be carried out only at the direction of the Executive Committee. This committee is also charged to discover, and to inform the Senate upon, the disposition of whatever requests or recommendations concerning University policy may be directed to the University Administration by the Senate.

(c) The *Committee on University Administration* shall, at the instruction of the Senate or Executive Committee, conduct evaluations of the performance of University Administration, and shall make the results of such evaluations known to the Senate. It also shall keep before the Senate the processes by which University Administrators are selected and/or retained, and shall formally report to the Senate on the processes of any appointment made at the Dean level or above. It may also develop general guidelines for the review and evaluation of the work of administrators, and for aiding administrators in their efforts to improve their effectiveness at their posts. This committee shall also recommend faculty members for search committees which from time to time are formed to make nominations for administrative positions in the University.

(d) The *Committee on Faculty Employment and Remuneration* shall study and make recommendations on the basic terms of faculty employment. These matters shall include all policies and practices related to faculty compensation, promotion, tenure, and retention. The committee shall review the form and substance of the faculty contract.

(e) The *Committee on Faculty Rights and Responsibilities* shall deal with specific grievances of faculty, including those concerned with promotion and tenure, if and when such grievances are not resolved through other normal channels within the University Division or School. This committee should establish a *Subcommittee on the Faculty Handbook* to assure inclusion of current statements of policy and distribution of current editions of the *Handbook* to old and new faculty.

(f) The *Committee on Faculty Environment* shall deal with such matters as health care programs, tuition remission policies, fringe benefits, and facilities for officing, teaching, and research. The committee should also form a subcommittee to monitor assignment of season tickets to the faculty section in the Coliseum.

(g) The *Committee on Rules, Membership, and Elections* shall have as its functions: to prepare and conduct elections and referenda, such as the election of members of the Faculty Senate as provided in the Constitution and, upon invitation by one-third or more of the regular, full-time faculty of a department or other academic unit; to certify and report the results of all elections and referenda to the Executive Committee of the Senate; to recommend procedures of election; to take such interim action as is necessary to keep the membership of the Senate current and its list of alternates complete; to propose amendments and changes to the Faculty Senate Constitution and Bylaws; to review all other proposed amendments to those documents.

Rule 11: Elections. At the beginning of every academic year, the Secretary of the Senate shall obtain from each School, Department, and Division a list of all full-time faculty members with the rank of Instructor or higher, including the names of those who may be on leave. This list shall constitute the basis on which the Secretary of the Senate shall determine the number of nominees from each School, Department, or Division, and the number of senators and alternates to be elected.

No later than the third Wednesday in March, the Secretary of the Senate shall send to each Dean or Associate Dean the appropriate information on election procedures. The elections shall be held and the results reported to the Secretary of the Senate before the April meeting of the Senate. The report shall include the entire list of nominees from the School or the College and the number of valid ballots cast for each.

Rule 12: Election from the College. Election of Senate members from the College of Letters, Arts, and Sciences shall be by each Division separately, instead of by the College as a whole.

Rule 13: School of Medicine Representation. The number of senators authorized for the School of Medicine shall be twelve (12).

Rule 14: Alternates. If any elected member has been absent for two successive Senate meetings, or notified the Senate that he/she expects to be absent for two or more such meetings, the Senate shall designate an alternate to serve until the senator's return. Such alternate shall be the candidate receiving the largest number of votes at the last election for representatives from the School or the College, not already elected or serving as an alternate.

Rule 15: Reports to the Faculty. The minutes of the Senate meetings shall be distributed by the Secretary of the Senate to all faculty members, together with other appropriate material to keep the faculty informed of the activities of the Senate.

Appendix 18

AAUP Statement on Freedom and Responsibility

For more than half a century the American Association of University Professors has acted upon two principles: that colleges and universities serve the common good through learning, teaching, research, and scholarship; and that the fulfillment of this function necessarily rests upon the preservation of the intellectual freedoms of teaching, expression, research, and debate. All components of the academic community have a responsibility to exemplify and support these freedoms in the interests of reasoned inquiry.

The 1940 *Statement of Principles on Academic Freedom and Tenure* asserts the primacy of this responsibility. The 1966 *Statement on Professional Ethics* underscores its pertinency to the individual faculty member and calls attention to this responsibility, by his/her own actions, to uphold colleagues' and students' freedom of inquiry and to promote public understanding of academic freedom. The *Joint Statement on Rights and Freedoms of Students* emphasizes the shared responsibility of all members of the academic community for the preservation of these freedoms.

Continuing attacks on the integrity of our universities and on the concept of academic freedom itself come from many quarters. These attacks, marked by tactics of intimidation and harassment and by political interference with the autonomy of colleges and universities, provoke harsh responses and counter-responses. Especially in a repressive atmosphere, the faculty's responsibility to defend its freedoms cannot be separated from its responsibility to uphold those freedoms by its own actions.

I

Membership in the academic community imposes on students, faculty members, administrators, and trustees an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off the campus. The expression of dissent and the attempt to produce change, therefore, may not be carried out in ways which injure individuals or damage institutional facilities or disrupt the classes of one's teachers or colleagues. Speakers on campus must not only be protected from violence, but given an opportunity to be heard. Those who seek to call attention to grievances must not do so in ways that significantly impede the functions of the institution.

Students are entitled to an atmosphere conducive to learning and to evenhanded treatment in all aspects of the teacher-student relationship. Faculty members may not refuse to enroll or teach students on the grounds of their beliefs or the possible uses to which they may put the knowledge to be gained in a course. The student should not be forced by the authority inherent in the instructional role to make particular personal choices as to political action or his/her own part in society. Evaluation of students and the award of credit must be based on academic performance, whether professionally judged, and not on matters irrelevant to that performance, whether personality, race, religion, degree of political activism, or personal beliefs.

It is a teacher's mastery of his/her subject and his/her own scholarship which entitles him/her to the classroom and to freedom in the presentation of his/her subject. Thus, it is improper for an instructor persistently to intrude material which has no relation to the subject, or to fail to present the subject matter of the course as announced to his/her students and approved by the faculty in their collective responsibility for the curriculum.

Because academic freedom has traditionally included the instructor's full freedom as a citizen, most faculty members face no insoluble conflicts between the claims of politics, social action, and conscience, on the one hand, and the claims and expectations of their students, colleagues, and institutions, on the other. If such conflicts become acute, and the instructor's attention to his/her obligations as a citizen and moral agent precludes the fulfillment of substantial academic obligations, he/she cannot escape the responsibility of that choice, but should either request a leave of absence or resign his/her academic position.

II

The Association's concern for sound principles and procedures in the imposition of discipline is reflected in the 1940 *Statement on Principles on Academic Freedom and Tenure,* the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings,* the 1968 "Recommended Institutional Regulations on Academic Freedom and Tenure," and the many investigations conducted by the Association into disciplinary actions by colleges and universities.

The question arises whether these customary procedures are sufficient in the current context. We believe that by and large they serve their purposes well but that consideration should be given to supplementing them in several respects:

First, plans for ensuring compliance with academic norms should be enlarged to emphasize preventive as well as disciplinary action. Toward this end the faculty should take the initiative, working with the administration and other components of the institution, to develop and maintain an atmosphere of freedom, commitment to academic inquiry, and respect for the academic rights of others. The faculty should also join with other members of the academic community in the development of procedures to be used in the event of serious disruption, or the threat of disruption, and should ensure its consultation in major decisions, particularly those related to the calling of external security forces to the campus.

Second, systematic attention should be given to questions related to sanctions other than dismissal, such as warnings and reprimands, in order to provide a more versatile body of academic sanctions.

Third, there is need for the faculty to assume a more positive role as guardian of academic values against unjustified assaults from its own members. The traditional faculty function in disciplinary proceedings has been to assure academic due process and meaningful faculty participation in the imposition of discipline by the administration. While this function should be maintained, faculties should recognize their stake in promoting adherence to norms essential to the academic enterprise.

Rules designed to meet these needs for faculty self-regulation and flexibility of sanctions should be adopted on each campus in response to local circumstances and to continued experimentation. In all sanctioning efforts, however, it is vital that proceedings be conducted with fairness to the individual, that faculty judgments play a crucial role, and that adverse judgments be founded on demonstrated violations of appropriate norms. The Association will encourage and assist local faculty groups seeking to articulate the substantive principles here outlined or to make improvements in their disciplinary machinery to meet the needs here described. The Association will also consult and work with any responsible group, within or outside the academic community, that seeks to promote understanding of and adherence to basic norms of professional responsibility so long as such efforts are consistent with principles of academic freedom.

Approved unanimously by the Council
Washington, D.C.
October 31, 1970

Endorsed by Deans' Council
University of Southern California
March 10, 1971

Appendix 1C
On Preventing Conflicts of Interest in Government-Sponsored Research at Universities

A Joint Statement of
The Council of the American Association of University Professors
and
The American Council on Education

On Preventing Conflicts of Interest in Government-Sponsored Research at Universities

The increasingly necessary and complex relationships among universities, Government, and industry call for more intensive attention to standards of procedure and conduct in Government-sponsored research. The clarification and application of such standards must be designed to serve the purposes and needs of the projects and the public interest involved in them and to protect the integrity of the cooperating institutions as agencies of higher education.

The Government and institutions of higher education, as the contracting parties, have an obligation to see that adequate standards and procedures are developed and applied; to inform one another of their respective requirements; and to assure that all individuals participating in their respective behalfs are informed of and apply the standards and procedures that are so developed.

Consulting relationships between University staff members and industry serve the interests of research and education in the University. Likewise, the transfer of technical knowledge and skill from the University to industry contributes to technological advance. Such relationships are desirable, but certain potential hazards should be recognized.

Conflict Situations

1. Favoring of outside interests

When a University staff member (administrator, faculty member, professional staff member, or employee) undertaking or engaging in Government-sponsored work has a significant financial interest in, or a consulting arrangement with, a private business concern, it is important to avoid actual or apparent conflicts of interest between his/her Government-sponsored University research obligations and his/her outside interests and other obligations. Situations in or from which conflicts of interest may arise are the:

a. Undertaking or orientation of the staff member's University research to serve the research or other needs of the private firm without disclosure of such undertaking or orientation to the University and to the sponsoring agency;

b. Purchase of major equipment, instruments, materials, or other items for University research from the private firm in which the staff member has the interest without disclosure of such interest;

c. Transmission to the private firm or other use for personal gain of Government-sponsored work products, results, materials, records, or information that are not made generally available. (This would not necessarily preclude appropriate licensing arrangements for inventions, or consulting on the basis of Government-sponsored research results where there is significant additional work by the staff member independent of his Government-sponsored research);

d. Use for personal gain or other unauthorized use of privileged information acquired in connection with the staff member's Government-sponsored activities. (The term "privileged information" includes, but is not limited to, medical, personnel, or security records of individuals; anticipated material requirements or price actions; possible new sites for Government operations; and knowledge of forthcoming programs or of selection of contractors or subcontractors in advance of official announcements);

e. Negotiation or influence upon the negotiation of contracts relating to the staff member's Government-sponsored research between the University and private organizations with which he/she has consulting or other significant relationships;

f. Acceptance of gratuities or special favors from private organizations with which the University does or may conduct business in connection with a Government-sponsored research project, or extension of gratuities or special favors to employees of the sponsoring Government agency, under circumstances which might reasonably be interpreted as an attempt to influence the recipients in the conduct of their duties.

2. Distribution of effort

There are competing demands on the energies of a faculty member (for example, research, teaching, committee work, outside consulting). The way in which he/she divides effort among these various functions does not raise ethical questions unless the Government agency supporting the research is misled in its understanding of the amount of intellectual effort actually devoted to the research in question. A system of precise time accounting is incompatible with the inherent character of the work of a faculty member, since the various functions he/she performs are closely interrelated and do not conform to any meaningful division of a standard work week. On the other hand, if the research agreement contemplates that a staff member will devote a certain fraction of the effort to the Government-sponsored research, or he/she agrees to assume responsibility in relation to such research, a demonstrable relationship between the indicated effort or responsibility and the actual extent of involvement is to be expected. Each university, therefore, should – through joint consultation of administration and faculty – develop procedures to assure that proposals are responsibly made and complied with.

3. **Consulting for Government agencies or their contractors**

When the staff member engaged in Government-sponsored research also serves as a consultant to a Federal agency, his/her conduct is subject to the provisions of the Conflict of Interest Statutes (18 U.S.C. 202-209 as amended) and the President's memorandum of May 2, 1963, *Preventing Conflicts of Interest on the Part of Special Government Employees.* When he/she consults for one or more Government contractors, or prospective contractors, in the same technical field as the research project, care must be taken to avoid giving advice that may be of questionable objectivity because of its possible bearing on his/her other interests. In undertaking and performing consulting services, he/she should make full disclosure of such interests to the University and to the contractor insofar as they may appear to relate to the work at the University or for the contractor. Conflict of interest problems could arise, for example, in the participation of a staff member of the University in an evaluation for the Government agency or its contractor of some technical aspect of the work of another organization with which he/she has a consulting or employment relationship or a significant financial interest, or in an evaluation of a competitor to such other organization.

University Responsibility

Each university participating in Government-sponsored research should make known to the sponsoring Government agencies:

1. The steps it is taking to assure an understanding on the part of the University administration and staff members of the possible conflicts of interest or other problems that may develop in the foregoing types of situations, and

2. The organizational and administrative actions it has taken or is taking to avoid such problems, including:

a. Accounting procedures to be used to assure that Government funds are expended for the purposes for which they have been provided, and that all services which are required in return for these funds are supplied;

b. Procedures that enable it to be aware of the outside professional work of staff members participating in Government-sponsored research, if such outside work relates in any way to the Government-sponsored research;

c. The formulation of standards to guide the individual University staff members in governing their conduct in relation to outside interests that might raise questions of conflicts of interest; and

d. The provision within the University of an informed source of advice and guidance to its staff members for advance consultation on questions they wish to raise concerning the problems that may or do develop as a result of their outside financial or consulting interests, as they relate to their participation in Government-sponsored University research. The University may wish to discuss such problems with the contracting officer or other appropriate Government official in those cases that appear to raise questions regarding conflicts of interest.

The above process of disclosure and consultation is the obligation assumed by the University when it accepts Government funds for research. The process must, of course, be carried out in a manner that does not infringe on the legitimate freedoms and flexibility of action of the University and its staff members that have traditionally characterized a university. It is desirable that standards and procedures of the kind discussed be formulated and administered by members of the University community themselves, through their joint initiative and responsibility, for it is they who are the best judges of the conditions which can most effectively stimulate the search for knowledge and preserve the requirements of academic freedom. Experience indicates that such standards and procedures should be developed and specified by joint administrative-faculty action.

Appendix 2A

Patent Policy at the University of Southern California

The University of Southern California is a teaching and research institution. Although invention is not a major duty of any of those engaged in research at the University, there are many unforeseen byproducts of research. One of these is the discovery of useful procedures, techniques, and instruments that may be patented.

During the past 25 years there has been an unprecedented increase in scientific and technological research at institutions of higher learning. With this increase in research activity has come the need for University policies with respect to inventions.

A satisfactory University patent policy must be fair, it must be consistent, and it must be in accordance with the overall educational objectives of the University. This patent policy of the University of Southern California has been endorsed by the Faculty Senate and the Council of Deans and is included in the current *Faculty Handbook*. The policy is applied on a University-wide basis, and all employees of the University accept it as a condition of employment. Basically, the policy provides that every University employee agrees to promptly notify the University of any invention which the employee believes to be patentable and which is made in the course of duties at the University, or with the use of University facilities. The employee agrees to assign any and all patents which he/she may seek or obtain during such employment to the University or its assignee(s) or to the sponsoring agency as required under agreements governing the research. In addition, all employees agree to execute such documents of assignment at the time the patent application is forwarded to the U.S. Patent Office and subsequently to do everything that may be reasonably required to assist all assignees to obtain, protect, and maintain patent rights.

In consideration of the above-mentioned invention assignment, the University acknowledges and agrees that an equity in such invention remains with the employee inventor. The extent of this equity will be determined by an *ad hoc* committee appointed in the following manner:

The Vice-President of Academic Administration and Research shall appoint such an *ad hoc* committee at the request of the inventor, or at the request of the University patent committee, or on his/her own initiative. Such a committee shall consist of the inventor, or his/her representative, a representative of the President, and a third member from the faculty mutually agreed upon by the other two members. Determination of an inventor's equity and share of any income derived from royalties shall be made at the time the University is notified that the invention is patentable.

In general, the University desires to share at least 50 percent of the net income derived from an invention with the inventor(s). Since many circumstances surround the development of inventions by University employees, the exact division of income in each case is best determined by the *ad hoc* committee. It should be noted that many government sponsors limit royalty income to an employee inventor to as little as 15 percent of gross income.

Patent Development

In order to guarantee the greatest possible utilization of any patentable process, instrument, or technique developed at the University of Southern California, the University has entered into a variety of arrangements for the development of patents. All these arrangements are designed for the mutual benefit of the employee, the University, and other interested parties.

The University's oldest patent-processing agreement is with Research Corporation of New York City, a nationwide, independent, non-profit foundation that acts as a patent-management agency. Research Corporation has patent-development agreements with more than 100 educational institutions and maintains a portfolio of over 500 patents and patent applications in all fields of science and technology. The Corporation evaluates inventions submitted to it and prepares patent applications on those that promote the general welfare or have revenue-producing possibilities. Any income derived from such patents is divided between the University and the Corporation according to mutually accepted arrangements.

The Patent Committee

All University patent policy questions are referred to the University Patent Committee, which reviews such questions and makes recommendations to the Vice-President of Academic Administration and Research and the Vice-President, Legal Affairs. The committee consists of seven members who are appointed and serve at the pleasure of the President.

All patent matters referred to the committee are considered promptly, and decisions are rendered at the earliest possible time, but no later than one year after report of the invention to the University. In general, the committee will recommend one of the following procedures to the President:

1. That patent action be instituted by the University at its own expense or in the alternative transmittal of the idea or invention to Research Corporation or the other patent development organization under provisions of agreements between the University of Southern California and these organizations;

and/or

2. Transmittal of the idea or invention to the sponsoring agency as may be required under the terms of the agreement governing the research;

or

3. Return of the idea or invention to the persons from whom it has been received with the written opinion that it does not warrant further patent action by the University and that the inventor is released from further responsibility to the University with respect to that particular invention.

Why Patent?

Patents are valuable to a university and to its staff members. Patents, along with publication in scientific journals, establish dates of scientific contributions. They can and do serve to control the quality of products manufactured by licensees. They may be a substantial source of income.

At the University of Southern California income derived from patents is used to advance the research activities of the unit of the University responsible for the development of the patented invention. The revenues derived from any patent are discretionary and may be allocated by the Board of Trustees upon recommendation of the President.

When any staff member believes that he/she has conceived a possible invention, he/she should prepare a Disclosure of it as soon as possible. The Disclosure is a formal, binding document used to describe the invention and to establish legally the name of the inventor(s) and the date of first conception. Included as part of the Disclosure are drawings, sketches, and other pertinent data to show the principle of the invention's operation and performance. The inventor(s) should sign and date each page of the Disclosure and all sketches and data sheets. USC Disclosure forms are available at the office of Secretary or Chairperson of the Patent Committee. For further information, call sta. 259[illegible].

To qualify as a legal document, the Disclosure must be signed by at least two witnesses. The witnesses must sign and date each sketch and each page of the Disclosure. If possible, a working model of the invention should be prepared and tested before witnesses.

Since priority of conception date is often the deciding factor in awarding a patent, it is most important that the invention be declared as early as possible with the earliest conception date verified by witnesses. Therefore, the inventor should consult promptly with his/her administrative superior or with the Secretary of the Patent Committee.

In the event that a patent is to be sought on a new material, device, or process, the inventor should promptly seek the advice of the Patent Committee before taking any steps to publish or declare publicly the discovery. Any publication describing an unpatented material, device, or process may make it impossible to secure a valid patent and thereby reduce any benefit that may accrue to the inventor and the University from the development of a new procedure, technique, or instrument.

Employee Patent Agreement University of Southern California

Introduction

Certain inventions which may be made by employees in the course of duty or with the use of University facilities should be patented in order to protect the University and the public. These patents are assigned to the University and all costs involved in obtaining the patents borne by the University or its nominee.

Inventions and discoveries made by an employee on his/her own time and without the aid of University facilities are the sole property of the inventor.

The University Patent Policy below is for your information and is incorporated and made a part of this agreement.

Patent Agreement

WHEREAS, The University of Southern California, a California corporation (herein referred to as "the University"), has certain responsibilities to see that inventions made at the University be administered for the best interests of the public, and in such a way as to avoid any criticism of the University;

THEREFORE, by this agreement, executed by me and accepted by the University, I hereby promise and agree as follows:

I will notify the University (or any individual, corporation, or governmental agency which the University may specify) promptly of an invention which I believe to be patentable and which is made in the course of my duties at the University, or with the use of University facilities. At the request of the University or its nominee, I will assign to the University or its nominee all patent rights I may have to any such invention in the United States and foreign countries. I will supply all information and execute all papers necessary for the purpose of prosecuting patent applications on such inventions. Expenses for such patent applications shall be borne entirely by the University or its nominee. I understand that the University reserves the right to abandon the prosecution of any patent applications. Furthermore, I will disclose promptly and fully to the University all matters, whether patentable or not, that I may solely, or jointly with others, develop wholly or partly in the course of any work in which I may engage covered by any contract between the University and others (including the United States government). If called upon, I will execute all documents and supply all information which the University or its nominee deems necessary or desirable in order to perform its patent obligations under any such contract.

It is understood as a part of this agreement that if the University receives revenue from patents on inventions assigned to it by me pursuant to this agreement in excess of administrative costs I shall share in these funds at least to the degree afforded by the established and announced procedure of the University in force at the date of this agreement.

The foregoing agreement is made in consideration of my employment by the University, and for other valuable consideration.

It is further understood that the foregoing agreement is part of the terms of my employment, and any contract of employment heretofore or hereafter entered into between me and the University shall be deemed to include the foregoing agreement except to the extent that an express provision of such contract of employment is inconsistent therewith.

It is further understood that performance on my part of the foregoing agreement is one of the purposes for which I am employed and that such agreement will be taken into consideration and relied upon by the University in making decisions as to the assignment of work to me.

It is further understood that the University may and will rely upon the foregoing agreement in making contracts with others in which the University may undertake obligations with respect to discoveries made by its employees.

Agreed: ____________________

Name: ____________________

Signature: ____________________

Employee No. ____________________

Dated: ____________________

Accepted: ____________________

Name: ____________________

Title: ____________________

University of Southern California

Dated ____________________

Appendix 2B
Parking and Vehicular Regulations

(Excerpts from University Rules and Regulations, July 10, 1970.)

Parking Permits

Students may obtain parking permit applications and information from the Parking Operations Office. Parking permits must be permanently affixed and are good only for the car to which the permit is registered. Permits are not transferable. Possession and/or use of a lost or stolen parking permit or card key will be considered a cause for disciplinary action.

Speed Limits

The basic speed limit on campus is 15 miles per hour, except for emergency vehicles complying with Section 21055 of the California Vehicle Code. No person shall drive at a speed that is greater than is reasonable, having due regard for traffic on, and the surface and width of, the road or street, and the safety of persons and property.

Parking Areas

Vehicles may be parked only in areas designated for parking.

No vehicles shall be parked so as to occupy any portion of more than one parking space or stall as designated within the parking area. The fact that other vehicles may have been so parked as to require the vehicle to occupy a portion of more than one space or stall shall not constitute an excuse for violation of this section.

Two-wheel motor-driven vehicles may park only in authorized motorcycle parking areas and may not be driven or parked on the center campus at any time. Permits for motorcycles will be issued using the regular Vehicle Registration forms.

Expired decals must be removed from vehicles.

Parking Violations

All parking violations are subject to citation. Valid permit holders are also subject to citation if a vehicle is parked in a red zone, a crosswalk, a fire hydrant area, a driveway, a loading zone, or in a manner that blocks traffic lanes.

Continued violation of parking regulations will be considered sufficient cause for repossession of parking permits by the University.

Disciplinary cases will be handled as follows:

Students – referred to the Dean for Student Life

Faculty – referred to the Department Chairperson

Non-academic Staff – referred to the Department Chairperson or Administrative Head.

Impounding of Vehicles

Any vehicle parked upon the University campus in violation of these regulations, including the motor vehicle and other traffic laws of the State of California and the traffic code of the City of Los Angeles, may be impounded or immobilized and taken to such place for storage as Campus Security may select. The expense of such impounding and storage, as well as unpaid traffic fines, shall be charged to the owner or operator of the vehicle and paid prior to its release. The University and its employees shall not be liable for loss or damage of any kind resulting from such immobilization, impounding, and/or storage.

Guest Group Parking Procedures

Under present University policy only five groups, all of which meet regularly, are permitted free parking on campus:

1. Faculty Wives
2. Town and Gown
3. Interfraternity Mothers
4. Intersorority Mothers
5. Support Group Board Members (while in session)

Whenever more than four cars are expected for a meeting, parking should be arranged for in advance by notifying Parking Operations in writing. For convenience, Parking Reservation Request forms are available from Parking Operations, sta. 6166.

Parking Reservations

Persons who attend meetings in the Los Angeles area during the day or the evening are normally asked to pay fees for parking. The fee at USC is 75 cents per car for meetings or other events on the campus. There should be no serious objection to paying the modest 75 cents parking fee per car for meetings or other events held on the campus. This parking fee may be paid for in one of two ways:

1. The parking fee of 75 cents per car may be collected at the parking lot entrance as the members of the group arrive.
2. The parking fee of 75 cents per car may be paid by the inviting department by requisition or department order.

If no more than four cars are expected for a meeting, arrangements should be made directly with the gate attendant.

Gate No.	Location	Sta.
Gate 1	Exposition Blvd.	6653
Gate 2	Information Center	6677
Gate 3	Parking Structure	6627
Gate 4	Jefferson Blvd.	5301
Gate 5	New Dormitories	5302
Gate 6	Tennis Stadium	5303

The sponsoring department or group should advise visitors and guests to appear at any of the above-mentioned parking control stations, where they will receive a visitor's parking pass permitting them to park in any available space in faculty parking areas. There will be no charge to the individual or to the department. The parking control station log will indicate the names of the visitors and the sponsoring department.

Permit holders may obtain a temporary permit or pass permit at Parking Operations without charge for an unregistered vehicle if the person's registered vehicle is not available.

Miscellaneous Fees

Fees charged are indicated below.

For card keys, the original key is $1 and a replacement key, $5. For replacement permits the following charges are made: with certificate of destruction issued by Campus Security, no charge; if stolen and a theft report is made to Campus Security, no charge, or if report is not filed, full charge; lost permits, full charge.

Special Information

Guest parking is available in Lot One. Guests are requested to use this lot only while visiting the campus.

Teaching Assistants and Research Assistants are permitted to park in student lots and the parking structure at any time. Faculty lot parking privileges are permitted on a space-available basis as follows:

1. Monday and Wednesday, after 1:30 p.m.
2. Tuesday, Thursday, and Friday, after 10:15 a.m.

Students with permits and persons paying 75 cents will be allowed to park on all faculty lots west of Hoover Street and in the parking structure after 5 p.m. daily on a space-available basis only. During University functions or special events, this privilege is waived.

Students with permits will be allowed to park on Hoover Street after 5 p.m. daily. However, overnight parking on the street is prohibited; this regulation is designed to facilitate street cleaning during the night.

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